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Chapter 400 Academic Programs

400.1 Policy on Academic Program Planning

North Carolina citizens and institutions must be prepared to compete in a rapidly changing global environment. Consistent with this mandate, the University of North Carolina Board of Governors, the University's General Administration, and the constituent universities shall be guided by the needs of the people of North Carolina in their academic degree program development, approval, and discontinuation actions. Academic program planning and procedures must be nimble, efficient, and responsive to those needs at all levels.

Campuses shall continue to have a lead role in identifying academic program needs and in formulating proposals to meet those needs. The University's General Administration shall also engage in the identification of academic program needs. General Administration shall develop procedures to regularly review workforce and societal needs and, on at least a biennial basis, identify degrees and programs beneficial to the State. General Administration shall also periodically draw on the expertise of the faculty to identify longer-term emerging trends that may have implications for new degree programs. In its analysis, General Administration shall always consider whether all regions of the State are adequately served by the University. As referenced in this policy, needs of the State and its citizens are inclusive of requirements growing out of local, regional, national, and global challenges.

Once academic program needs are identified by the campuses or by General Administration, General Administration, in consultation with the campuses, shall forward, after appropriate review, recommendations to the Board of Governors regarding how best to meet those needs. All campuses shall have an opportunity to participate in a process for recommending the best way to address those needs. Disciplinary and cross-disciplinary processes that utilize campus faculty and administrators shall be established to recommend whether expansion of a current degree program, collaboration in a joint degree program, an online degree program, or a stand-alone degree program is the best option. Campuses are urged to give high priority to collaborative or joint program development.

In these processes, faculty expertise is essential for sound academic decision making at the campus and system levels. At the campus, disciplinary, cross-disciplinary, University, and board levels, analysis and recommendation of the need for a new academic program, the place for its establishment, and the method of its delivery shall be based on:

1. number, location, and mode of delivery of existing programs,
2. the relation of the program to the distinctiveness of the campus and the mission of the campus,
3. the demand for the program in the locality, region, or State as a whole,
4. whether the program would create unnecessary duplication,
5. employment opportunities for program graduates,
6. faculty quality and number for offering the program,
7. the availability of campus resources (library, space, labs, equipment, external funding, and the like) to support the program,
8. the number and quality of lower-level and cognate programs for supporting the new program,
9. impact of program decision on access and affordability,
10. the expected quality of the proposed degree program,
11. feasibility of a joint or collaborative program by two or more campuses, and
12. any other consideration relevant to the need for the program.

General Administration shall, in collaboration with the campuses, promote the expansion and availability of online degrees and other programs which facilitate access to higher education for all citizens. As the availability of online degree offerings increases, General Administration, in collaboration with the campuses, shall incorporate consideration of online offerings into the assessments of proposals for new academic degree programs. Online program development is part of the academic planning and assessment processes, and campuses will continue to take the lead in proposing the establishment of online degree programs.

While the responsibility for quality, efficiency, and productivity of academic degree programs rests at the campus level, General Administration shall be responsible for periodic reviews to determine whether productivity and quality review processes are followed. Campuses shall regularly review the priorities of their offerings and are to be prepared to discontinue programs that no longer meet any significant need. In collaboration with the campuses, General Administration shall review and revise standards for offering degree programs at various levels and by various methodologies. The University shall balance responsiveness with due diligence and a state-wide perspective. In achieving this balance, General Administration shall develop expedited program review processes for rapid response where warranted. The campuses' faculty and administration and General Administration shall assure a continuing commitment to academic excellence.

The President, after consultation with the campuses and the Board of Governors, shall promulgate regulations to implement this Board of Governors policy and is authorized to provide guidance to the campuses in their academic program development and discontinuation.

400.1: Adopted 05/06/09

400.1.1[R] Regulation for Academic Program Planning and Evaluation

I. Purpose. This regulation defines the authority, responsibilities, and required processes as related to academic program planning and evaluation in the University of North Carolina System (UNC System).

A. Compliance

1. UNC System institutions are individually accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) and are responsible for compliance with SACSCOC criteria and procedures with respect to any action related to academic programs that may constitute a substantive change as defined by SACSCOC.

2. UNC System institutions are required to adhere to the SACSCOC policies and Best Practices and Protocols for Electronically Offered Degree and Certificate Programs in planning, delivering and assessing distance education courses and programs.

3. UNC System institutions are responsible for meeting SACSCOC expectations for the review of the effectiveness of their educational programs, inclusive of student learning outcomes.

4. The University of North Carolina System Office (UNC System Office) utilizes the most recent Classification of Instructional Programs (CIP) for the classification of all degree programs.

5. If a program will be delivered out of state, whether face-to-face or electronically mediated, the institution must assure the UNC System Office that all required licensing or other authorization is secured before the program is offered out of state.
6. The UNC System Office will maintain an Academic Program Inventory (API) as the official record of degree programs offered by the University and of all actions taken regarding degree programs. Constituent institutions will work with the UNC System Office to maintain the integrity of the API.

B. Constituent Institution Policy and Procedure. Each institution must have a clearly defined process for the review and approval of proposals to plan or establish new degree programs, including online or site-based distance education, off-campus, or alternative delivery of degree programs. All constituent institution processes must be followed and constituent institution approval must be received before a proposal may be submitted to the UNC System Office.

C. Communication and Forms. Chancellors of the constituent institutions shall communicate to the UNC System Office their intentions or requests with respect to the following:

1. Request for authorization to plan any new degree program.
2. Request for authorization to establish any new degree program.
3. Request for authorization to establish a new delivery mode of any existing degree program.
4. Request for authorization to change the title, degree type, or CIP of an existing degree program.
5. Request for authorization to discontinue a degree program.
6. Request for authorization to consolidate degree programs.
7. Notification of intent to establish or discontinue a certificate or teacher licensure program.

Constituent institutions must utilize the most recent versions of request forms as required, maintained, and made available by the UNC System Office. Forms for new degree program requests must at minimum address the areas indicated in Section 400.1, Policy on Academic Program Planning, of the UNC Policy Manual, as the basis for decision making on the requests.

II. Academic Program Planning

A. New Baccalaureate, Master’s, and Doctoral Degree Program Proposals

1. In addition to demonstrated capacity of the institution to deliver a quality program, major considerations in the planning and evaluation of new degree program proposals are student demand for the program, societal demand (availability of employment for graduates of the program), budget and source of funding for the proposed program, collaborating possibilities with other degree programs within UNC System, and relationship of the new degree program with institutional mission.

2. Constituent institutions must comply with regulations on fostering undergraduate student success that limit the number of baccalaureate degree program credit hours to no more than 128 and that designate baccalaureate programs exceeding 135 semester credit hours as five-year baccalaureate programs.

3. The UNC System Office will be responsible for managing the review process for new degree proposals and for making a recommendation to the Board of Governors of the University of North Carolina (Board) according to the attached flowcharts: Process for Planning and Establishment of New Baccalaureate Degree Program, Process for Planning and Establishment of New Master’s Degree Program, and Process for Planning and Establishment of New Doctoral Degree Program. The UNC System Office may approve authorization to plan proposed programs that clearly meet the considerations in II.A.1, above. External reviews will be required for all doctoral programs and may also be sought to evaluate constituent institution readiness to deliver online or site-based distance education, off-campus, or alternative delivery of degree programs at any level.

4. The senior vice president of academic affairs at the UNC System Office, in cooperation with the constituent institutions, will periodically review and determine a standard maximum number of new degree program proposals that each constituent institution can have under active review at UNC-GA at any given time. Proposals for new joint degree programs shall be exempt from these limitations.

B. Online and Site-Based Distance Education Programs and Off-campus Programs. Distance education occurs when students and instructors are not in the same place. Distance education may be mediated through use of the Internet (online) or other means. Off-campus program delivery occurs when students and instructors are together at an instructional site that is geographically separate from the main campus of the institution.

The UNC System Office has authority to approve online and site-based distance education delivery and off-campus delivery of degree programs previously established by the board according to the flowchart Process to Request New Delivery Mode for Existing Degree Program (any level); otherwise, new degree programs to be delivered online, site-based, or off-campus are processed in the same way as all other new degree program proposals and require board approval. Approval by the UNC System Office is required if 50 percent or more of the degree program will be offered in an alternative, online, or distance delivery mode, or a combination of these modes with the following exceptions:

1. The first online or site-based distance education degree program offering for which a constituent institution must follow any SACSCOC substantive change procedure, regardless of the percent offered in that format, must be approved by the UNC System Office.
2. Any off-campus offering of a degree program, regardless of the percent offered in that format, must be approved by the UNC System Office.

Constituent institutions proposing such programs will be expected to document how online and site-based distance education programs and off-campus programs exhibit comparable quality to programs offered on site at the constituent institution in terms of both academic standards and standards for student support. The application and maintenance of academic standards are the responsibility of the academic unit and constituent institution offering the instruction online or at a site off-campus.

Constituent institutions proposing such programs will also be expected to document how online and site-based distance education programs and off-campus programs do not result in an unnecessary duplication of effort and resources, including among programs delivered to students on campus.

For off-site delivery, priority should be given to partnering with UNC constituent institutions and with the North Carolina Community College System where appropriate.

Rapidly changing technology may lead to new modes of delivery of courses and degrees. Proposals for other methods for delivery of degree programs must document the comparable quality of the proposed programs to programs offered by the constituent institution in terms of both academic standards and standards for student support.

C. Degree-Related Distance Education Courses. The development and delivery of individual degree-related distance education courses are institutional responsibilities. Courses may be offered without prior approval of the UNC System Office. However, institutions should list these courses on their distance education web site. Proposals to offer courses or programs through the Southern Regional Electronic Campus (SREC) will be coordinated through the UNC System Office.

D. Doctor’s Degree – Professional Practice. Professional practice doctoral program proposals (formerly First Professional program proposals, as in medicine, pharmacy, dentistry, veterinary medicine, law, and others) normally involve outside reviewers in the early stages of development and in many cases an on-site review team. Other high-cost programs may also be addressed in the same manner. Constituent institutions should
consult with the UNC System Office before beginning to prepare a Professional Practice program proposal.

E. Joint Degree Programs. Joint Degree programs result in the awarding of a single joint degree by two or more UNC constituent institutions or by a UNC constituent institution and non-UNC educational institution. Joint degree programs must be approved through the regular institutional processes and have the approval of the chancellor of each participating UNC institution before submission to the UNC System Office for review and presentation to the board for approval.

Proposals for joint degree programs must include documentation that, at minimum, the fundamental elements of the following institutional processes have been agreed to by the partners:

1. Admission process;
2. Registration and enrollment process for students;
3. Committee process for graduate students;
4. Plan for charging and distributing tuition and fees;
5. Management of transcripts and permanent records;
6. Participation in graduation; and
7. Design of diploma.

Each student who will receive a Joint Degree must be approved by each UNC institution whose name will appear on the diploma using the institutional process for certifying a student to receive a degree.

F. Dual Degree Programs. A Dual Degree program involves two academic units, either at the same institution or at different institutions, including non-UNC institutions, in a formal agreement to offer two degrees as part of a program of study that will result in a student being awarded both degrees (two diplomas). While such programs offer the advantage that some course work may count for each degree, the requirements for each of the two degrees in a Dual Degree program must be substantially equivalent to the requirements for a student taking only one of the degrees. For example, a juris doctorate and an MBA could be linked in a Dual Degree program. While SACSCOC must approve dual degree arrangements, these arrangements are considered by the UNC System Office as articulation agreements among existing degree programs and do not require additional approval by the UNC System Office or the Board.

G. Expedited Program Review. While board policy requires that the academic program planning and evaluation process achieve a balance between responsiveness, due diligence, and a state-wide outlook, it also necessitates development of expedited program review processes for circumstances when rapid response is warranted. A request for an expedited review will be warranted where there is an extraordinary need to have a program start up immediately to meet a clear state need, or to announce immediately that the program will be available at a certain future time. An example might be the need for a degree program as part of a state effort for recruiting or expanding business, industry, or a governmental function. An expedited review will not require a request for permission to plan, and some or all external review requirements may be eliminated at the discretion of the UNC System Office academic affairs leadership.

H. Discontinuation of Academic Degree Programs. The Board of Governors has the authority to establish and discontinue degree programs. A constituent institution may recommend the discontinuation of a degree program at any time. The proposal for discontinuation should provide a reasonable time for currently-enrolled students to complete their academic requirements or provide an alternative way for these students to complete their program of study.

I. Program Consolidation. Constituent institutions may request that two or more existing degree programs be discontinued in order to be combined in a single degree program. If the resulting consolidated program differs substantially from the component programs in both curricular requirements and program classification, then the constituent institution must complete an abbreviated request for establishment for expedited review by the UNC System Office and approval by the Board as a new degree program. Alternately, a constituent institution may seek to discontinue one or more degree programs to become concentrations or tracks within another degree program whose core requirements and program classification will otherwise not change. In this case, the request for establishment and board approval as a new program are not required, but for the programs to be discontinued, the request to discontinue must be completed and approved by the board. Constituent institutions should work closely with the UNC System Office to assure the correct steps are taken for consolidation requests.

III. Academic Program Evaluation. In accordance with state statutes and on behalf of the Board of Governors, the UNC System Office shall manage a biennial program review process in cooperation with constituent institutions. All academic degree programs are to be reviewed against criteria specifically developed to determine program productivity. The review may result in either decisions to strengthen programs that are or can reasonably be made productive or in program discontinuation. Availability of educational opportunities for North Carolina citizens, including racial and geographic diversity, are also considered.

IV. Other Matters
A. Effective Date. The requirements of this regulation shall be effective on the date of adoption of this regulation by the president.
B. Relation to Federal and State Laws and Policies. The foregoing regulation as adopted by the president is meant to supplement, and does not purport to supplant or modify, those statutory enactments, regulations, and policies which may govern or relate to the subject matter of this regulation.
Process for Planning and Establishment of New Baccalaureate Degree Program:

<table>
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<tr>
<th>Letter of Intent Review</th>
<th>Within four weeks</th>
<th>UNC System Office responds with approval to move forward with request or UNC System Office responds with questions; campus replies within four weeks</th>
<th>UNC System Office approves and invites submission of Request to Establish</th>
<th>Campus submits Request to Establish within four months</th>
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Request to Establish Review

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<tr>
<th>Request to Establish submitted to UNC System Office</th>
<th>Within four weeks</th>
<th>UNC System Office responds that proposal is complete or UNC System Office requests information; campus replies within four weeks</th>
<th>Completed Request to Establish is posted to Academic Planning Website for four weeks for system-wide review and comments</th>
<th>UNC System Office reviews comments received</th>
<th>Within two weeks</th>
<th>UNC System Office is prepared to make recommendation to EPPII Committee or Campus notified of any remaining issues; campus replies within four weeks</th>
<th>UNC System Office makes recommendation to EPPII Committee</th>
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Board of Governors Action

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<tr>
<th>Upon UNC System Office recommendation degree program brought to next EPPII Committee meeting</th>
<th>Upon EPPII Committee approval degree program brought to next Board of Governors meeting</th>
<th>Board of Governors acts on EPPII Committee recommendation</th>
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Process for Planning and Establishment of New Master’s Degree Program:

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<th>Letter of Intent Review</th>
<th>Within four weeks</th>
<th>UNC System Office responds with approval to move forward with request or UNC System Office responds with questions; campus replies within four weeks</th>
<th>UNC System Office approves and invites submission of Request to Establish</th>
<th>Campus submits Request to Establish within four months</th>
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<th>UNC System Office responds that proposal is complete or UNC System Office requests information; campus replies within four weeks</th>
<th>Completed Request to Establish is forwarded to the UNC Graduate Council for four-week review period, Graduate deans submit campus comments to UNC System Office for information and consideration</th>
<th>UNC System Office reviews comments received</th>
<th>Within two weeks</th>
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400.1.1: Adopted 05/06/09, Amended 08/26/13, Amended 02/01/16*, Amended 11/14/18

1. N.C.G.S. § 116-11(3) provides as follows:

The Board of Governors shall determine the functions, educational activities and academic programs of the constituent institutions. The board shall also determine the types of degrees to be awarded. The powers herein given to the board shall not be restricted by any provision of law assigning specific functions or responsibilities to designated institutions, the powers herein given superseding any such provisions of law. The board, after adequate notice and after affording the institutional board of trustees an opportunity to be heard, shall have authority to withdraw approval of any existing program if it appears that the program is unproductive, excessively costly or unnecessarily duplicative.

2. When the President determines that he should recommend to the Committee on Educational Planning, Policies, and Programs that a program be terminated, or when the committee on its own initiative tentatively determines that a program should be terminated, the President shall give written notice of that determination to the chancellor and chairman of the Board of Trustees of the affected institution, notifying them that, if they request it, they will be given a hearing on the matter before the committee. The chancellor and chairman may bring to this hearing such administrative staff members and faculty members as they may deem useful in representing the institution.

3. If a hearing is requested by the institution, the chancellor shall so notify the president within 30 days after receipt of the notice of determination to terminate an opportunity for hearing. If either the chairman or the chancellor intends to object to the proposed program termination, he shall, not later than two weeks prior to the hearing, file with the president a written statement of reasons why in his opinion the program should not be terminated, together with such supporting data as he may wish to provide. The president shall transmit this material to the committee.
4. After hearing the chancellor and chairman of the board of trustees, if a hearing is requested, the committee shall make its decision and, if its decision and recommendation to the Board of Governors are for program termination, the committee shall include in its report a summary of the objections, if any, that were filed by the chancellor or chairman with respect to the recommended program termination.
5. The foregoing procedure is in addition to and not in lieu of procedures for the termination of programs on the initiative of a chancellor.

400.1.2: Adopted 08/22/77

**400.1.2[R] Regulations on Terminating Programs**

The procedure for terminating programs was adopted by the Board of Governors on August 22, 1977. This procedure constitutes a designation of the planning committee as the board’s agency to hear contested decisions to terminate programs.

Section 605 A of The Code provides that a chancellor, on the chancellor's own initiative, can undertake a major curtailment or termination of a program. The chancellor is required by Section 605 C (1) to consult with the administrative officers and faculty of the institution, and the chancellor's action is subject to the concurrence of the President and approval of the Board of Governors.

The termination procedure established in this policy, is entirely separate from the one just noted and applies to those instances where on the initiative of the president or of the planning committee, a program is to be terminated. This procedure is beyond the control of the chancellor (except as an adviser to the president and the planning committee). This procedure makes no provision for the termination of the employment of individual faculty members, only of programs. It would be a matter for the chancellor's decision whether the termination of a program would have the effect of making the services of one or more faculty members unnecessary. The chancellor would then follow procedures appropriate to the case.

(This is a rewrite of Administrative Memorandum #85.)

400.1.2[R]: Adopted 08/24/77

**400.1.2[R] Regulations for New Campuses, Branch Campuses and other Off-site Educational Use of Facilities**

1. In the matter of a proposed new campus, the president will make a preliminary determination of whether to recommend to the Board that a study be done.
2. If the Board directs that a study be done of a proposal for a new campus, the president shall initiate and oversee the study and upon its conclusion make recommendations to the Board.
3. In the matter of a proposed branch campus, the president will make a preliminary determination of whether to recommend to the Board that a study be done.
4. The University will use as its definition of a branch campus the one adopted by the Commission on Colleges of the Southern Association of Colleges and Schools: A branch campus is defined as a location of an institution that is geographically apart and independent of the main campus of the institution. A location is independent of the main campus if the location is permanently established, (1) permanent in nature, (2) offers courses in educational programs leading to a degree, certificate, or other recognized educational credential, (3) has its own faculty and administrative or supervisory organization, and (4) has its own budgetary and hiring authority.
5. If the Board directs that a study be done of a proposal for a branch campus, the President shall initiate and oversee the study and upon its conclusion make recommendations to the Board.
6. Proposals for constructing, acquiring, leasing, or otherwise using off-site facilities shall provide assurance that all University requirements are to be met.
7. The President will consult with the North Carolina Community College System in the process of assessing the need for a new campus, a branch campus, or other new facilities for off-site educational delivery.
8. Templates will be developed which contain the components that must be included in agreements for constructing, leasing, or otherwise using off-site facilities for academic program delivery.
9. In proposing or reviewing proposals for off-site facilities, all options for delivery of instruction shall be considered including online options.

400.1.2[R]: Adopted 05/06/09

**400.1.5 Fostering Undergraduate Student Success**

I. Purpose

The University of North Carolina's policies on student success adopted by the Board of Governors direct constituent institutions to:

A. Set academic progress and degree attainment as primary outcomes;
B. Promote academic quality, rigor, and integrity; and
C. Make possible "seamless" educational opportunities across the UNC constituent institutions, with the North Carolina Community College System (NCCCC), and early college high schools.

Improving retention, graduation rates, and time to degree are important aspects of such policies. However, the Board of Governors also recognizes that students come into the system from a number of different life circumstances and their paths to success vary accordingly. Policies, therefore, set parameters within which a constituent institution can best meet the needs of these diverse student populations.

II. University-Wide Policies

A. The Board of Governors has adopted the following policies for all institutions comprising the University of North Carolina except the North Carolina School of Science and Mathematics.[1]

1. Constituent institutions will require no more than 120 semester credit hours for a four-year baccalaureate degree program unless an exception is granted by a board of trustees as described in Section 400.1.5[R] of the UNC Policy Manual.
2. Constituent institutions will follow the credit hour limits for five-year baccalaureate degree programs as described in Section 400.1.5[R] of the UNC Policy Manual.

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3. Constituent institutions will develop academic policies within the regulations established by the UNC General Administration on:
   a. Satisfactory Academic Progress (SAP)
   b. Course Adjustment Periods ("Drop/Add")
   c. Course Withdrawal
   d. Grade Exclusion or Replacement
   e. Minimum, Maximum, and Average Course Load

4. Constituent institutions will establish a student success and support structure to review and to issue regular reports on:
   a. Retention, academic progression, graduation, and time to degree;
   b. Course scheduling as it relates to whether courses required for graduation are offered on a timely basis and with an adequate number of sections and seats;
   c. Course offerings and grade requirements to assess if any undue additions to general education requirements exist or if such requirements unintentionally lengthen time to graduation; and
   d. The academic advisement system to ensure students receive appropriate assistance in proceeding toward graduation in a timely manner.

5. Constituent institutions will be compliant with Title IV regulations that define student eligibility for and receipt of federal financial aid.

6. Constituent institutions will be compliant with the Comprehensive Articulation Agreement with the NCCCS and are encouraged to develop policies that promote seamless transfer among schools in the University of North Carolina System.

   B. These policies are designed to ensure that campus and system-wide policies and practices facilitate behaviors that support retention and timely graduation.

III. Other Matters

A. Effective Date. The requirements of this policy shall be effective on the date of adoption of this policy by the Board of Governors.

B. Relation to State Laws. The foregoing policy as adopted by the Board of Governors is meant to supplement, and does not purport to supplant or modify, those statutory enactments which may govern or relate to the subject matter of this policy.

C. Regulations and Guidelines. This policy shall be implemented and applied in accordance with such regulations and guidelines as may be adopted from time to time by the president.


400.1.5: Adopted 01/08/93, Amended 09/08/06, Amended 07/01/07, Amended 01/11/13, Amended 01/26/18

400.1.5.2[R] Fifteen Hour Average Course Load Requirement for Full-Time Undergraduates

This Regulation sets annual goals and establishes guidelines for campuses to be in compliance with the board's 1993 Plan to Improve Graduation Rates and to meet the board’s expectation that undergraduates enroll in at least 15 semester hours per term in order to graduate in four years. These annual goals and guidelines will also put each campus in compliance with Section 89(a), Senate Bill 27, of the 1993 Session Laws which states:

In order to monitor institutional progress in meeting the expectation of Item 1 of the "Plan to Improve Graduation Rates in the University of North Carolina" that full-time undergraduates will take an average of 15 semester hours per term, the Board of Governors shall require constituent institutions to set a goal of increasing to 15 the average number of credit hours per term taken by full-time undergraduates. This goal shall be met system-wide and by each constituent institution no later than December of 1997. The Board shall instruct all institutions to report on their progress in meeting their goals in their annual assessment reports. The Board shall require those institutions failing to make timely progress to submit special reports identifying additional steps to be taken. The Board shall report annually by April 1 to the Joint Legislative Education Oversight Committee on the progress of each constituent institution in meeting these goals.

It should be noted that neither the board's expectation nor this requirement changes the definition of a full-time undergraduate course load from 12 to 15 credit hours, nor do they require that every full-time undergraduate carry 15 or more credit hours. Instead, they require that the course loads of full-time undergraduates average at least 15 credit hours. Monitoring of the legislative requirement will be based on all regular session degree-creditable and remedial course hours taken by degree-seeking undergraduates as reported on the institution's fall and spring Student Data Files.

Report Schedule

In accordance with Section 89(a), Senate Bill 27, of the 1993 Session Laws, the board issued its final progress report in March 1998. As noted in that report, the board recommended that it continue to monitor the average course load of full-time undergraduates as part of its annual report on Time-To-Degree. To accomplish this task, the following guidelines shall continue to guide the campuses in submitting their annual reports.

In order to include the most current date in the annual report, while at the same time allowing sufficient time for responses from campuses not meeting goals to be prepared and summarized, the following schedule will be followed.

An average annual credit hour count for full-time undergraduates will be calculated in November of each year. It will include the credit hours reported on the spring and fall Student Data Files of that calendar year (not academic year). After the November calculation is made, any institution whose count is below its annual goal will be asked to report by the end of the following January on corrective steps to be taken in the new calendar year. Following receipt of the campus reports, a report will be prepared for board approval and for submission to the legislature before April 1.

Annual Goals

Attached to this Regulation is a table entitled UNC Board of Governors Report on Average Credit Hours Taken by Full-Time Degree-Seeking Undergraduates (As required by Section 89(a), Senate Bill 27, 1993 Session Laws). It presents data on average annual credit hour counts and goals for UNC institutions for the years 1993 through 1998. Institutions above the 15-hour average in 1993 are required to maintain an average of 15 hours or more in each of these years.
400.1.5[R]: Adopted 05/10/94, Amended 03/13/98

400.1.5[R] Regulation Related to Fostering Undergraduate Student Success

I. Required Semester Credit Hours for Baccalaureate Degree Programs

Baccalaureate degree programs shall require no more than 120 semester credit hours. An institution with compelling reasons as to why a program’s requirements must exceed 120 semester credit hours may petition to have an exception approved by its board of trustees. Compelling reasons include, but are not limited to: programmatic accreditation standards; licensure requirements; and other state, federal, or professional regulations.

An institution must report any exceptions granted by its board of trustees, and the reasons for those exceptions, to the Board of Governors and the president by the end of calendar year 2018 and annually thereafter.

Any program authorized by the Board of Governors to require 135 semester credit hours or more shall be officially designated as a five-year baccalaureate program.

A. Constituent institutions shall observe these regulations in all proposals for new degree programs.

B. This section applies to individual baccalaureate degree programs, not to credit hour requirements for students who earn more than one major.

C. Constituent institutions must publicize the required number of semester credit hours and projected length of full-time enrollment required to obtain each baccalaureate degree in both printed and online catalogs. During new student orientation sessions and in publications for students and parents, constituent institutions must provide a description of factors that may prolong the length of time to complete a degree.

D. General Administration will maintain a catalog of all active baccalaureate degree programs and their required hours, and the Board of Governors will periodically review compliance with this 120-credit limitation, including approved exceptions to that limitation.

This section is effective as of the beginning of the fall 2019 semester, and shall not affect the credit hour requirements in place at the time of registration for students who registered at a constituent institution prior to the fall 2019 semester. Students who registered at a constituent institution prior to the fall 2019 semester will have the option to elect into the fall 2019 catalog.

II. Student Success Policies

Constituent institutions must have policies addressing student success, including Satisfactory Academic Progress and Good Academic Standing.

A. Satisfactory Academic Progress and Good Academic Standing. Satisfactory Academic Progress and Good Academic Standing are determined by:

1. Cumulative Grade Point Average; and  
2. Ratio of attempted to completed semester credit hours.

B. The implementation of these criteria shall include the following:

1. Upon initial admission to a UNC campus, a student is in Good Academic Standing.

2. All undergraduates in the University of North Carolina system must earn and maintain a minimum cumulative GPA of 0 to be considered in Good Academic Standing. Constituent institutions may choose to utilize term GPA in determining Good Academic Standing.

3. All constituent institutions must develop an academic progress policy that defines the ratio of attempted to earned semester credit hours required for continued enrollment. Federal Title IV regulations for Satisfactory Academic Progress shall be the minimum allowable standard.

4. If a student meets the criteria in each of the two standards above, then the student is considered to be making Satisfactory Academic Progress, remains in Good Academic Standing, and is eligible to continue enrollment at that UNC constituent institution.

5. Constituent institutions may develop policies that allow students falling below one or more of the standards to be placed on academic warning and/or academic probation[1] as opposed to being academically dismissed or academically suspended. These policies must, at a minimum, be in accord with federal Title IV regulations and should include the use of academic success contracts where appropriate.

6. Constituent institution policies related to this section must be published in all campus academic and financial aid materials, both printed and
B. The Course Adjustment Period (i.e., “Drop/Add”). The Course Adjustment Period will be established as the time during which students may drop or add courses without academic penalty (i.e., no impact on the Grade Point Average (GPA), attempted hours, or tuition surcharge). Constituent institutions may choose to make the period for adding courses and the period for dropping courses the same or different; however, both the drop and add periods must be concluded by the census date. The implementation of this section shall include the following:

1. Constituent institutions may set policies that allow faculty to drop students administratively if they do not attend the course by the end of the Course Adjustment Period. These policies must be publicized to students. Faculty using this option must have a limited window to take such action in order to complete the drop without causing the student to incur financial penalties other than those normally applied during the course adjustment period. Constituent institutions may allow faculty to add students into those seats in a timely fashion under guidelines set by the constituent institution.

2. Constituent institution business practices determine if adjustments made during Course Adjustment Period result in any refund or additional charges to the student. Any financial repercussions to students must be publicized in the constituent institution’s academic and financial aid policies describing the Course Adjustment Period.

3. Federal Title IV regulations shall be the minimum standard for all policies related to student refunds during the course adjustment period.

C. Course Withdrawal. Students are expected to complete all the courses for which they are registered at the close of the Course Adjustment Period. These courses must be recorded on a student’s official transcript and receive a grade that is used in the calculation of a GPA, count as attempted hours, count toward the tuition surcharge calculation, and conform to all financial aid and Satisfactory Academic Progress rules unless withdrawal is permitted under conditions described below:

1. Course withdrawal with extenuating circumstances.
   a. Constituent institutions will develop policies that permit a student to withdraw from a course or courses at any time without academic penalty for serious extenuating circumstances, including military deployment. These policies must describe a clear process that defines the documentation required, the nature of the review by a designated campus body or official, and an opportunity for one level of appeal at the campus level. Students who must withdraw from a course or courses due to military service should also consult the UNC Policy Manual on Military Student Success, Section 700.7.1.
   b. Any campus policy developed for course withdrawal for extenuating circumstances must require that:
      1. A W be recorded on the transcript;
      2. The course(s) count as attempted hours;
      3. The course(s) not count in tuition surcharge calculations (see UNC Policy Manual, Section 1000.1.5[G]);
      4. The course(s) not count in GPA calculation; and
      5. The course(s) are subject to all financial aid and SAP rules and calculations.

2. Course withdrawals without extenuating circumstances.
   a. After the initial Course Adjustment Period, constituent institutions may develop policies that allow students to withdraw from one or more courses without meeting the standards for withdrawals for extenuating circumstances. These policies must specify up to four courses or up to 16 semester credit hours as the maximum number of such withdrawals permitted over the course of a student’s degree or degrees.
   b. Any policy developed for course withdrawal without extenuating circumstances must require that:
      1. A W be recorded on the transcript;
      2. The course(s) count as attempted hours;
      3. The course(s) count in tuition surcharge calculations; and
      4. The course(s) are subject to all financial aid and SAP rules and calculations.

3. Campus policies must include a deadline for such withdrawal at a date no later than the completion of 60 percent of the term.

D. Course Repeats. Campus policies on course repeats must conform, at the minimum, to federal Title IV Financial Aid standards with regard to course repeats. Students receiving federal financial aid cannot be treated differently from students not on such aid. In addition, all campus policies on course repeats must, at the minimum:

1. Include on the student transcript all attempts to complete a course;
2. Count all attempts to complete a course in calculations of satisfactory academic progress;
3. Count all attempts to complete a course in the tuition surcharge calculation in accordance with the UNC Policy Manual, Section 1000.1.5[G]; and
4. Use all grades earned in a course in the calculation of the GPA, unless the grade can be excluded through a campus-based grade exclusion or replacement policy.

E. Forgiveness Policies. Campuses may establish policies that permit a student who is academically dismissed or academically suspended to be readmitted after a specified period of time, have a modified or new GPA calculation, and to be under other specific steps for re-admittance to the campus.

F. Grade Exclusion or Grade Replacement

1. Constituent institutions must develop policies on grade exclusion and/or grade replacement. These policies must specify up to four courses or up to 16 semester hours as a maximum number of allowable exclusions/replacements.
2. Campus policies that permit either grade exclusion and/or grade replacement must provide for:
   a. The inclusion on the transcript of both the initial grade earned for the course and a notation of its exclusion from or replacement in the calculation of the GPA; and
   b. The inclusion on the transcript of both the calculations of satisfactory academic progress and the tuition surcharge.

G. Minimum, Maximum, and Average Semester Course Load. A minimum “full-time” undergraduate course load is defined as 12 credit hours per semester. In advising and other communications, campuses shall encourage full-time students to consider an average semester load of 15 credit hours, when possible, to stay on track for a timely graduation. Constituent institutions may allow students in good academic standing to enroll in up to 18 semester hours in a fall or spring semester without any special permission. No student shall exceed 18 semester hours in a fall or spring semester without special permission as designated by campus policy. Constituent institutions shall develop appropriate policies for a maximum load in summer terms.

III. Student Success Review and Reporting

Constituent institutions will establish a student success support structure of one or more committees comprised of the appropriate officials from areas such as admissions, registrar’s office, financial aid, advising, the counseling center, the cashier’s office, faculty governance, and student government to review and issue regular reports on:

A. Retention and Graduation

1. Each campus shall, in consultation with General Administration, establish goals for retention and graduation for first-time, full-time students. Constituent institutions shall also work with General Administration to develop a tracking model for the retention and graduation rates of full-time students, transfers students, and part-time students.
2. General Administration will report annually to the Board of Governors on the success of these various categories at both the campus and system level.

B. Additional Student Success Measures. Constituent institutions shall work with General Administration to develop common output measures of student success and achievement as a means to assess the academic progress goals set by each campus.

C. Review of Course Scheduling and Offerings. Constituent institutions shall develop mechanisms to monitor whether all courses necessary for graduation are offered on a timely basis and with an adequate number of sections for a student to graduate in four years. As a part of this review, campuses shall determine:

1. If general education requirements (e.g., themes, designators, etc.) allow appropriate student progress;
2. If excessive or unnecessary specification or augmentation of general education courses for certain majors places an undue burden on students changing majors; and
3. If excessive GPA or course grade requirements for admission to or completion of a major are delaying student progress toward graduation.

These evaluations will be prepared on a three-year cycle beginning in fall 2014 and will examine data from the previous three academic years. General Administration will consult with campuses to develop the reporting format and required data.

D. Advising. Constituent institutions shall develop policies to monitor the availability of appropriate and timely academic advising, particularly for first-time undergraduates and first-semester transfer students to:

1. Assist students in making effective academic and career decisions;
2. Increase the potential for students selecting appropriate courses and schedules;
3. Provide students with assistance in selecting a major in a timely fashion;
4. Prevent excessive changes of major;
5. Increase students’ awareness of an appropriate course load and academic assistance available to them; and
6. Provide information as appropriate on course selection and the impact on tuition surcharge.

This review should take place on a three-year cycle beginning in fall 2014 and examine data from the previous three academic years. General Administration will consult with campuses to develop the reporting format and required data.

E. Early Warning System Plan

1. Effective with the start of the fall 2014 semester, each campus will have an early warning system (EWS) to alert relevant campus personnel to signs of poor academic performance by a student or of behavior likely to lead to a student not making Satisfactory Academic Progress. Each campus will submit a comprehensive intervention plan to General Administration that describes how students are identified by the EWS, what campus staff or faculty are notified when a student is identified by the EWS, and how the staff or faculty member is to respond. Interventions may include written communication with students, phone calls or text messages, face-to-face meetings with campus personnel, and/or formal programs involving extended student participation.
2. The EWS should specify what interventions will be used, who will be responsible for them, how warnings will be communicated to responsible personnel, and how interventions will be tracked and reported.
3. Each campus will identify strategies to assess the effectiveness of its EWS and use the results for ongoing improvement.

IV. Regulations on Student Financial Aid and Title IV

A. All campuses will develop financial aid disclosure practices that will, at the minimum, include entrance and exit counseling for students receiving financial aid.

B. All campus policies will be complaint with federal Title IV regulations, including, but not limited to, the following:

1. Common definition of the federal Title IV regulation that defines a student as eligible for federal financial aid for up to 150 percent of normal time to graduation.
2. Four-year-degree requirements in the University of North Carolina system range from 120-128 semester credit hours. The system will use 120 hours as the common definition for defining federal financial aid eligibility, making 180 hours the limit for 150 percent of normal time to graduation.
3. Constituent institutions will define procedures whereby a student completing 180 or more attempted hours will undergo an automatic review to determine continued federal financial aid eligibility. If the student is enrolled in a program requiring more than 120 hours, the appropriate allowance will be calculated on campus based on the exact number of credits required for that degree.

These policies must be widely distributed in all campus academic and financial aid materials.

C. Guidelines to monitor first undergraduate degree completion. Federal Title IV regulations require that campuses monitor first undergraduate degree completion and offer no additional federal grant aid (e.g., Pell, SEOG) after a student earns the initial undergraduate degree. Under federal rules, a student can take out federal loans for a second degree, if eligible. To ensure compliance, campuses must develop protocols for:

1. Monitoring student degree completion each term (fall, spring, summer); and
2. For advising students of their status and eligibility for federal financial aid.

These policies must be widely distributed in all campus academic and financial aid materials.

V. Compliance with the Comprehensive Articulation Agreement (CAA) with the North Carolina Community College System (NCCCS) and Transfer within the UNC System

A. Constituent institutions will be fully compliant with the Comprehensive Articulation Agreement with the NCCCS.

B. Any student completing the Associates in Arts (AA) or Associates in Science (AS) degrees according to the CAA will be considered to have completed general education requirements at all UNC institutions in which they matriculate.

C. Any change by a campus in its General Education requirements must be consistent with the CAA.

VI. Information Distribution

A. To ensure that students receive policy information that is both comprehensive and timely, campuses must develop broad-based communications plans that inform students about:

1. Recommended course loads, required numbers of earned hours, and the projected length of full-time enrollment needed to obtain the baccalaureate degree;
2. Factors that may extend the length of time to complete a degree;
3. Requirements for Good Academic Standing and Satisfactory Academic Progress;
4. The course adjustment period;
5. Tuition surcharge; and
6. Other policies on course withdrawal, course repeat, and grade replacement or exclusion and their potential financial consequences.

B. All policies and procedures listed in this regulation will be effective no later than the fall 2014 semester.

VII. Relation to Federal and State Laws and Policies
The foregoing regulation is meant to supplement, and does not purport to supplant or modify, those statutory enactments, regulations, and policies which may govern or relate to the subject matter of this regulation.

[1] Constituent institutions are not obligated to enact policies for either academic probation or academic warning below the allowable standards.

[2] For regular term instruction, the census date is the conclusion of the 10th class day of the fall and spring semesters. For summer sessions, degree credit extension courses, and any other degree-credit courses taught on an irregular calendar, the census date is the end of the class day representing the passage of 10 percent of the instructional period. UNC Policy Manual, Section 400.1.8[R]

[3] If the course is offered online, the instructor may administratively drop the student from the course if the student has not signed in by the end of the course adjustment period.

[4] All campus business practices must conform to UNC FIT Student Account Standards.

[5] All campus policies on withdrawal must include policies about refunds and conform to UNC FIT Financial Aid and Student Account Standards.

[6] Summer courses are excluded from the tuition surcharge as per UNC Policy Manual, Section 1000.1.5[G].

[7] The calculation of this date should begin with the first day of classes and conclude on the last day of regular class meetings. It should exclude the reading day and exam period.

[8] The development of a policy does not imply that a campus must allow grade replacement and/or exclusion. A policy may simply state that the campus does not allow such.

[9] For purposes of reporting on first-time, full-time students, retention rate shall be defined as "the percentage of first-time degree-seeking undergraduates from the previous fall who are again enrolled in the current fall." (http://nces.ed.gov/ipeds/glossary/)

[10] For purposes of reporting, graduation rate data shall be collected as defined by "the number of students entering the institution as full-time, first-time undergraduate students in a particular year (cohort), completing their program within 150 percent of normal time to completion. It shall be calculated by race/ethnicity and gender." (http://nces.ed.gov/ipeds/glossary/).

[11] All campus policies on disclosure practices must conform to UNC FIT Financial Aid and Student Account standards.

400.1.5[R]; Adopted 04/29/13, Amended 08/01/14, Amended 01/31/18

400.1.5[G] Guidelines Related to Fostering Undergraduate Student Success

These guidelines provide additional information related to interpreting UNC Policy 400.1.5 and its associated regulations. Specifically, these guidelines more fully describe how campuses can implement programs and system to help foster undergraduate student success.

I. Determining Good Academic Standing and Satisfactory Academic Progress
   A. Good Academic Standing is determined by cumulative grade point average and ratio of attempted to completed semester hours. No specific criteria related to term GPA have been included in the Policy or regulations, and thus each campus can determine how to incorporate semester or summer term GPA into Academic Standing determinations. An appropriate use of semester or summer term GPA would be in the early warning process. For example, if a student’s semester or summer term GPA is below 2.0, then the campus early warning system (EWS) may identify the student for intervention and follow up.
   B. Satisfactory Academic Progress (SAP) is commonly used in financial aid eligibility determinations but is also used to determine a student’s ability to continue enrollment. This same measure should be applied to all students in order to measure progress toward degree. The minimum SAP should be in accord with Federal Title IV regulations.

II. Allowing Course Withdrawals
   A. Withdrawal With Serious Extenuating Circumstances
      1. Consistent with the requirements set out in Section II.C. of UNC Policy 400.1.5[R], each campus must develop a policy whereby undergraduate students can request course withdrawals due to serious extenuating circumstances. Each campus must widely distribute this policy.
      2. Campuses will need to code the course withdrawals in their ERP systems as separate grade codes in order to distinguish between withdrawals with extenuating circumstances and those without extenuating circumstances.
      3. Campuses should not communicate on the transcript that a course withdrawal was for extenuating circumstances. Campuses should develop a mechanism whereby withdrawals due to extenuating circumstances are designated on the transcript in a manner that respects and protects the privacy of the student.
   B. Withdrawals Without Extenuating Circumstances
      1. Effective beginning with the 2014-2015 academic year, campuses must adopt policies that allow for students to withdraw from either a maximum of up to four courses or up to 16 credit hours over the course of the student’s degree or degrees. Campuses should have one policy in place for all undergraduate students.
      2. Students will sometimes voluntarily withdraw from all of their courses without indicating any extenuating circumstances. Campuses have the option to designate extenuating circumstance withdrawals to these students provided the process for requesting course withdrawals with extenuating circumstances is followed.
      3. Course withdrawals that result in a student exceeding the designated campus limit will not be allowed. Students will receive a grade for all courses they enroll in after they reach the limit, unless course withdrawal with extenuating circumstances is allowed. Developing Effective Early Warning Systems.

III. Developing Effective Early Warning Systems
   A. Consistent with Section II.E. of UNC Policy 400.1.5[R], as of the Fall 2014 semester each campus must implement EWS, which identifies students experiencing or at-risk for academic difficulties. The EWS should at a minimum monitor all first and transfer students, sophomores, student athletes, students on academic warning or probation, students whose semester or term GPA is less than 2.0, students returning from academic suspension or academic dismissal, and other at-risk populations as determined by the campus.
   B. At least one alert to the relevant campus personnel should be sent each semester with the first one being no later than the end of the third week
400.1.6 The University of North Carolina Academic Calendar

Academic Calendars will be structured to provide a minimum of 75 class days per semester—excluding Saturdays, Sundays, and holidays—for a minimum of 150 class days per academic year.[1] The chancellor of the constituent institutions shall submit to the president by October 15 of each year copies of the calendars for the subsequent academic year.

All UNC campuses must ensure that every course offered for academic credit adheres to the standard of a minimum of 750 scheduled minutes of instructional time or the equivalent per credit hour. The time may include required examination periods, but may not include study days. In setting the academic calendar for each semester, campuses may set holiday periods, study days, and final examinations appropriate to accommodate the scheduled classes. In no case may a campus set a calendar that has optional final examinations if the time is considered a part of the required minimum class time.

[1] The standard course of study and academic calendar of the North Carolina School of Science and Mathematics shall be structured in accordance with regulations set by its Board of Trustees. See G.S. 116-235.

400.1.6: Adopted 07/12/96, Amended 02/08/02, Amended 07/01/07

400.1.7 Nursing Education

A report on nursing education by the Committee on Educational Planning, Policies, and Programs contained the following recommendations approved by the board:

1. that the Board of Governors again confirm the President's plan to establish a UNC Nursing Transfer Study Committee to make recommendations for a comprehensive plan to facilitate further the transfer of RNs who do not hold the baccalaureate degree into BSN programs in UNC institutions. An interim report on the work of this committee is expected in January 1991, and a final report in the spring of 1991;
2. that the Board of Governors authorize the President to proceed with a special study of assigning to the nursing programs at Winston-Salem State University the special mission of dedicating its resources and facilities entirely to the education of RNs who have graduated from associate degree and diploma programs, and to discontinue the enrollment of generic nursing students. The President is further authorized to use external consultants in making this study and to report his findings and recommendations to the Committee on Educational Planning, Policies, and Programs by December 1990;
3. that the board affirm the President's proposed policy with respect to passing rates on the licensing examination; (1) a requirement that the President will consider, jointly with the chancellor, an evaluation of the leadership, faculty, admissions policies and the curriculum of any program whose graduates do not achieve for two consecutive years an annual passing rate of 85 percent for first-time writers; and (2) a requirement that the President will ask the board to initiate program termination procedures for any program having a first-time passing rate of less than 75 percent for two consecutive years;
4. that it be authorized by the Board of Governors, as proposed by the President, to appoint a special subcommittee to consider the relocation of the BSN program at North Carolina Central University to Fayetteville State University to be operated as a joint program with Pembroke State University. The subcommittee would proceed as indicated in the President's report to make a study, looking first at the availability of facilities, and would report to the Planning Committee during the fall. The Planning Committee would then report to the board by the end of this year; and
5. that the board authorize the President to request that the Legislative Commission on Nursing consider the establishment of a graduate fellowship program for North Carolina residents who pursue a master's or doctoral study in nursing in UNC institutions, with particular emphasis given to the recruitment of minority students for these awards.

400.1.7: Adopted 05/11/90

400.1.8[R] Regulations on Use of Common Census Date for Reporting Purposes

This regulation defines a common census date for the counting of enrolled degree-credit students, full-time equivalent students, and student credit hours for budgeting and reporting purposes. Effective July 1, 2000, each UNC institution should take the steps needed to ensure that institutional practices comply with the following definition.

For regular term instruction, the census date is the 10th class day of the term.[1] For summer sessions, degree credit extension courses, and any other degree-credit courses taught on an irregular calendar, the census date is the class day representing the passage of 10 percent of the instructional period. Implementation of and adherence to a common census date policy will standardize the time at which institutions take their official enrollment and course counts and thereby facilitate the auditing of these counts.

Previous attempts to implement a common census date proved difficult to accomplish because of the number of affected policies and programs at some institutions. However, the absolute necessity of implementing such a policy in connection with the new SCH funding model requires that it be done as soon as possible. Institutions that are able to adopt the common census date before July 1, 2000, are encouraged to do so.

[1] The census date for the high school program of the North Carolina School of Science and Mathematics is the 10th day of the academic year. See G.S. 116-285.

400.1.8[R]: Adopted 12/10/99, Amended 07/01/07

400.1.9[G] Guidelines for the Use of the Continuing Education Unit (CEU)
The essential educational mission of the University is augmented through a broad range of activities generally categorized as "public service." These public services, which greatly extend the benefits which the higher education system provide to the people of the state, are integral to the basic instructional and research responsibilities of the University, but they also have an identity and integrity apart from instruction and research. An important component of the University's public service is the non-credit continuing education programs conducted by the constituent institutions.

The scope and importance of non-credit continuing education have increased in recent years, as individuals have availed themselves of opportunities to learn new skills, upgrade job performance, enhance their ability to perform as family members or citizens, or for personal enrichment. Numerous professional licensing and accrediting bodies require continuing education as a condition for maintenance of good standing. Accordingly, the number and variety of programs offered by higher education institutions have increased.

The Continuing Education Unit (CEU) was developed by a task force of the National University Extension Association and has been recognized by the Southern Association of Schools and Colleges and numerous professional organizations as a way to provide a consistent method to record and report the participation of individuals in non-credit continuing education or the activities of constituent institutions in this area. In 1973 a "Guide of the Implementation of the Continuing Education Unit in The University of North Carolina" was issued to assist institutions in the development and conduct of non-credit continuing education and extension programs. This guide was revised in 1980.

As non-credit continuing education activities become more important to individuals and a more significant portion of the activities of the constituent institutions, it is important that CEUs be awarded on the basis of nationally accepted program quality criteria and administrative procedures. The guide, developed with the assistance of the University Council on Continuing Education and the University Council on Teacher Education, will provide assistance in this regard.

[This is a rewrite of Administrative Memorandum #135.]

Guide for the Use of the Continuing Education Unit

The University of North Carolina

January 1980

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PREFACE

This guide was developed with the assistance of the University Council on Continuing Education and the University Council on Teacher Education and supersedes the "Guide for Implementation of the Continuing Education Unit in The University of North Carolina" issued in 1973. Since 1973, fourteen of the sixteen constituent institutions have awarded Continuing Education Units (CEUs) for non-credit continuing education programs, generally following the provisions of the 1973 guide.

This guide is based upon the experience gained since 1973 in awarding CEUs by the constituent institutions and incorporates many of the provisions of the "Criteria and Guidelines for Use of the Continuing Education Unit" published in 1979 by the National Council on the Continuing Education Unit. Adoption by the University of wording from this Council's Criteria and Guidelines for the sections of this guide dealing with Definition, Program Criteria, and Operational Procedures will insure that North Carolina conforms to nationally accepted standards.

INTRODUCTION

In recent years the scope and impact of non-credit continuing education programs have increased greatly. Until the concept of the Continuing Education Unit (CEU) was developed, no uniform unit of measurement existed to facilitate the accumulation and exchange of standardized information about individual participation in non-credit continuing education.

In 1968, the National University Extension Association (NUEA) appointed a task force to study the need for a uniform recording and reporting system for non-credit activities and to formulate procedures for nationwide implementation. The subsequent report of this task force was adopted by the NUEA. The Southern Association of Colleges and Schools also recognized the need for a uniform unit of measurement for non-credit activities in its revision of Standard Nine on Special Activities adopted in December, 1971. Since then the NUEA task force has evolved into the Council on the Continuing Education Unit, which performs a national monitoring, but not accrediting, role. Professional organizations, institutions, and regional and professional accrediting associations have adopted the CEU, and hundreds of colleges and universities are using the CEU.

The University of North Carolina has long been committed to and involved in continuing education as an integral part of its threefold mission of teaching, research, and public service. The majority of the student body traditionally has consisted of full-time undergraduate and graduate students who have entered the University to pursue an uninterrupted sequence of education. But in recent years an increasing number of students may not be working toward a degree. These include those who return to school later in their careers, who pursue occupational or professionally-related continuing education throughout their careers, and who pursue continuing education for the purpose of improved citizenship, cultural enrichment, or personal growth.

As the need for continuing education among diverse population groups increases, it is essential that a uniform means be used to recognize individual participation outside of the degree credit mechanism. Currently, a variety of methods is used to recognize individual participation in continuing education,
ranging from formal institutional certificates to informal letters from faculty to student. Such recognition is often highly significant to the individual involved and at the same time perplexing to organizations attempting to evaluate the quality of the education received or to assess the educational effort of the sponsoring institution.

The adoption of a standard unit of measurement concept will satisfy several needs.

1. The individual will have a method of providing his or her employer or prospective employer with a meaningful record of educational activities based on standardized criteria.
2. State and national associations, industry, government, and other organizations may use the standard unit of measurement as a criterion for evaluation of prior non-credit training of prospective employees.
3. Educational institutions may use a standard unit of measurement to determine the involvement of the institution in selected non-credit activities.

[The purpose of this guide is to establish policies and procedures for recognizing individual participation in selected non-credit continuing education programs of the University of North Carolina.]

GUIDE FOR THE USE OF THE CONTINUING EDUCATION UNIT
THE UNIVERSITY OF NORTH CAROLINA
DEFINITION

One Continuing Education Unit is defined as:

TEN CONTACT HOURS OF PARTICIPATION IN AN ORGANIZED CONTINUING EDUCATION EXPERIENCE UNDER RESPONSIBLE SPONSORSHIP, CAPABLE AND QUALIFIED INSTRUCTION.

Each element included in the definition of the Continuing Education Unit is an integral part of the larger concept of providing an educational experience of sufficient merit to be documented in permanent form on the record of the individual participant.

Ten Contact Hours of Participation

The contact hour is defined as a typical fifty-minute classroom instructional session or its equivalent. Ten instructional contact hours are required for one CEU. The number of instructional contact hours is readily determined in the formal classroom situation. In informal formats, the clock hour should be used. In more nontraditional formats, it may be necessary to exercise judgment in determining the instructional hours required to achieve the educational objectives.

In An Organized Continuing Education Experience

An organized educational experience presumes that there has been planning to meet a specific need. The essential elements of such planning include determination of the program's educational objectives in terms of:

1. the clientele to be served;
2. the new competencies to be achieved;
3. the content or subject matter to be covered; and
4. the program format and instructional methodology to be employed to develop the competencies.

Adequate and properly responsive program planning requires interaction between administrative personnel of the sponsoring organization, the instructor or educational leaders responsible for the learning experience, and representatives from the client group to be served.

Under Responsible Sponsorship

The sponsoring organization that awards CEUs must assume administrative responsibility for the program. This responsibility includes the assignment of direct supervision of the activity to a professionally capable program director or educational administrator and the maintenance of a permanent record system. The reputation and organizational integrity of the sponsor are reflected in the quality of the educational experience presented.

Capable Direction

The elements of capable direction include:

1. professional educational leadership in program planning and development;
2. selection of the most effective educational format for the intended purpose and objectives;
3. assignment of qualified instructional staff;
4. adequate program management and administration; and
5. the design and implementation of evaluation techniques applicable to both individual participants and the total program.

Qualified Instruction

Attainment of specified educational objectives requires the selection of an instructional staff that has the following qualifications:

1. competence in the subject matter;
2. ability to transmit the educational content to participants;
3. understanding of the program objectives; and
4. knowledge and skill in the instructional methodology and learning processes to be employed.

PROGRAM CRITERIA

The CEU should be offered only for those non-credit activities which have been organized to provide systematic instruction, measurable in duration of time, subject to performance evaluation for the participant, and which meet the definitional requirements. The CEU is a flexible unit of measure for selected non-credit educational programs and may be used to record an individual's participation in these activities as well as to quantify an institution's sponsorship of non-credit continuing education activities. The following criteria are to be met for each non-credit continuing education activity before CEUs may be awarded to participants and recorded on individual records.

Definition. The educational activity fulfills each of the elements in the definition of the CEU: an organized continuing education experience, responsible
sponsoring agency or director of the educational office who administers the program. Such planning includes the opportunity for input from representatives of the immediate client group, as well as from other knowledgeable individuals having content expertise and an appreciation of the educational objectives to be met.

Objectives. A clear statement of rationale, purposes, and goals is prepared for each educational activity prior to its initiation.

Instruction. Qualified instructional personnel are directly involved in conducting the educational activity.

Performance. Specific performance requirements for the award of CEUs to participants are established prior to the offering of the program.

Registration. Participant registration must include sufficient detail to provide the necessary information for a permanent record of individual participation.

Records. Program administration will include a system for verification of satisfactory completion of the activity by each participant (see discussion of registration immediately above) and for providing an approved list of those awarded CEUs to the office responsible for preparing and maintaining a record of individual participants.

Program Evaluation. Evaluation procedures determined during the planning process are used to measure the effectiveness of the program design and operation. The qualitative aspects of CEU programs are to be constantly under review. The method of evaluation should be developed after specific program objectives have been stated and should apply to sponsors, programs, and participants.

ACTIVITIES FOR WHICH THE CEU MAY NOT BE AWARDED

Credit Programs. CEUs are not to be awarded to an individual for any program or course which awards academic credit, whether secondary or collegiate.

High School Equivalency. Programs leading to high school equivalency certificates or diplomas do not qualify for the awarding of CEUs.

Indoctrination Programs. Programs which deal with the internal affairs of an organization do not qualify for the awarding of CEUs. Examples include topics such as: (1) rights, benefits, and responsibilities of employees; (2) structure of the organization; and (3) on-the-job methods, processes, or procedures.

Committee Meetings. Committee activities do not qualify for the awarding of CEUs.

Policy Assignments. Board meetings, delegate assemblies, or similar meetings for policy-making purposes do not qualify for CEUs.

Meetings and Conventions. Meetings and conventions of societies and associations do not qualify, per se, as continuing education. However, planned educational activities programmed and associated with these meetings may meet the criteria for awarding CEUs if record keeping and all other criteria for program sponsorship are met.

Mass Media Programs. Participation in programs delivered through the media (e.g., television, radio, newspapers) does not merit the awarding of CEUs unless these presentations are an integral part of an educational program which qualifies under these criteria and guidelines.

Entertainment and Recreation. Attendance at lecture series, cultural performances, entertainment or recreational meetings or activities, and participation in travel groups do not qualify for CEUs unless such activities are an integral part of a larger educational program.

Work Experience. On-the-job training and other work experiences do not qualify for the award of CEUs unless structured as part of a planned educational experience which fulfills program criteria set forth herein.

Individual Scholarship. The independent writing of articles or research papers or the presentation of papers outside a planned and directly supervised educational program does not qualify for the awarding of CEUs.

Self-Directed Studies. Individual, self-directed studies or other forms of independent learning experiences which are not planned, supervised, and directed by sponsoring agencies do not qualify for the awarding of CEUs.

Association Membership and Certification Programs. Noneducational activities of associations and professional societies, which may otherwise be used to qualify for professional and occupational group membership or certification, are not eligible for the awarding of CEUs. Examples of such activities include:

1. membership or service in a professional, occupational, or other society or organization;
2. attendance at annual, periodic, or special meetings, conventions, conferences, rallies, and retreats;
3. writing or presentation of articles or research papers;
4. speaking, teaching, or other program assignments; and
5. self-directed reading or study.

OPERATIONAL PROCEDURES

A conservative approach is appropriate when an institution decides to award CEUs for its continuing education programs. Only those programs which clearly qualify should be considered.

Determining the Number of Units

One Continuing Education Unit (CEU) is to be awarded for each ten contact hours of instruction, or the equivalent, included in the educational activity. The number of contact hours and appropriate CEUs must be determined prior to the beginning of the program, but only after the objectives, content, format, methods of instruction, and program schedule have been established. The decision to award CEUs is not to be made after the offering of the program, nor advertised as available before the activity has been approved for the award of CEUs.

When unforeseen circumstances require a significant alteration in the program schedule, an appropriate adjustment in the number of CEUs may be recommended by the director or coordinator of the program.

Responsibility for the determination of the number of units to be assigned rests with the director of the educational office that administers the program. Assistance and recommendations from others more intimately concerned with the specific program are desirable in making this determination. The accuracy and consistency with which CEUs are assigned depend on the skill and professional commitment of the director in assessing each learning experience.
Programs involving less than ten contact hours of instruction (less than one CEU) should be evaluated very carefully before a decision is made to award CEUs to participants. Such shorter programs should be sufficiently planned and sequentially designed to meet all program criteria and extensive enough to build a measurable competency and provide a significant educational experience.

In calculating the contact hours involved in an educational activity, the following factors may be included:

1. Classroom or meeting session hours with direct participation between the learner and instructor or discussion leader are counted as contact hours.
2. Laboratory sessions, clinical experiences, field trips and activities using nontraditional methods of instruction (e.g., independent study, directed reading, or correspondence courses) may be awarded CEUs, but the contact hours must be based on the equivalent instructional class hours.
3. For correspondence or self-study courses, the number of CEUs to be applied should be based on the time that the sponsor estimates will be required by students to complete the course at a satisfactory level.

Time devoted to the following and similar activities may not be included when calculating contact hours for CEUs:

1. Meeting time devoted to business or committee activities;
2. Meeting time devoted to announcements, welcoming speeches, or organizational reports;
3. Time for study, assigned reading, reports, written assignments, and other related activities outside of the class or meeting schedule; and
4. Scheduled time allocated to social activities, coffee hours, luncheons, dinners, etc. (Luncheon or dinner presentations which are an integral part of the educational experience may be included.)

When the appropriate number of instructional or contact hours has been determined, CEUs are assigned on the basis of one unit for each ten contact hours and one-tenth unit for each additional full contact hour.

Satisfactory Completion

Once activities have been approved for the awarding of CEUs and the number of units for the activity has been determined, only those individuals who satisfactorily complete the activity will receive CEUs. Satisfactory completion will be determined by the program director or instructor on the basis of criteria for completion developed by the planning group for the program or activity.

Satisfactory completion in the case of some activities will require evaluation of the performance of the individual participant. Such evaluation may take the form of a demonstration or actual performance involving the skill or information acquired, involve a project or written report, be limited to an oral or written test or examination involving the material to be mastered, or require other evidence of satisfactory completion.

When participants are evaluated in any of these ways, their individual permanent records may carry the performance evaluation, either in terms of a traditional letter grade, a numerical grade, a pass/fail grade, or by other designations. A failing mark should not be entered on the record of an individual participant, however, since only those individuals successfully completing a program should receive CEUs. When individuals do not satisfactorily complete CEU activities, information relating to that activity should be maintained in the sponsor's activity files for future reference.

In the case of programs in which performance evaluation of the participants is not deemed necessary, attendance and participation as determined by the planning group or program director may be used as the requirement for satisfactory completion of the activity. If attendance is the only criterion for satisfactory completion, then high minimum attendance requirements should be established (e.g., attendance during not less than eighty percent of the instructional hours), and some method of verifying the attendance of individual participants must be utilized. Information and records substantiating satisfactory attendance and participation provide essential backup in support of the CEUs awarded to individuals.

A designated official of the sponsoring institution or organization, usually the program director or the instructor, must verify and report that each individual has (or has not) met the specified completion requirements and is (or is not) to be awarded CEUs. Individual permanent records are to be established indicating the CEUs awarded to each participant.

Permanent Records

The sponsoring institution or organization is responsible for establishing and maintaining a record of all CEUs awarded to individual participants. Cumulative records for each individual participant are to be available on a permanent basis and issued as an official statement or transcript upon the request of the participant. A nominal transcript or transfer fee may be assessed for this service. Records of each continuing education activity should be available from the sponsoring institution or organization, describing as clearly as possible the audience, purposes, format, content, duration, teaching staff, course or experience prerequisites, and level of instruction, so that valid judgments concerning the educational experience can be made by the recipient of the record. The following information must be included on all transcripts or official statements:

1. Name and address of the awarding organization or institution;
2. Name of the individual participant;
3. Social security number of the individual participant;
4. Title of the program or activity (as descriptive as possible);
5. Completion date of the program or activity; and
6. Number of Continuing Education Units awarded.

Items of information which should be retained and may be recorded by the sponsoring organization include:

1. Brief description of the program or activity with some indication of content, level, objectives, and format (to be retained permanently in the sponsor's files and made available upon request);
2. Evaluation of individual performance, if available;
3. Instructors utilized in the activity;
4. Location of the program (city or facility);
5. Cooperating organizations (company, agency, association, or institution);
6. Additional personal information about the participant (address, date of birth, educational background, employment status, program status, etc.).
review. Representatives of the target audience participate in the program planning process to insure the suitability of the subject matter to the level of application. The changing needs of audiences are thus readily transmitted to CEU program sponsors to facilitate program revision and updating. The inability of a program sponsor to adjust to the changing needs of client or user groups results in decreased acceptability for programs offered.

Sponsor integrity is therefore subject to constant review when CEU criteria are fully met. Planning, administration, presentation, and evaluation functions must be continuing concerns of both program sponsors and user groups. Increased responsibility for planning and evaluation must be assumed by user groups if CEU programs are to be fully relevant and useful.

Proper program planning provides opportunities for qualitative checks by user groups to assure that the level and scope of the instructional content is consistent with the qualifications of the user group (participants) and is properly designed to fulfill the educational needs and objectives of the participants.

Evaluation

Methods of evaluation to determine the effectiveness of non-credit continuing education should be developed and applied as an integral part of each program. Without an initial statement of specific objectives for each program, it is difficult, if not impossible, to ascertain that desired goals have been attained. Program objectives developed during the planning process may include, but are not limited to:

1. changes in the attitude and approach of the learner to the solution of problems;
2. presentation of new knowledge or updating obsolete information in specific content areas;
3. introduction to and/or mastery of specific skills and techniques; and
4. improvement in the selective responses of the learner.

Both immediate and long-range analysis of each program and of student achievement by the program sponsor is essential for maintaining the effectiveness of future programs. Innovative approaches to evaluation are encouraged. Sponsors as well as students engaged in non-credit programs should be encouraged through appropriate orientation to accept evaluation as an essential element in non-credit programs.

Group indices will usually suffice to indicate the effectiveness of the educational effort, but provision should be made for recording evaluative indices for individual participants whenever appropriate.

REPORTING REQUIREMENTS

The General Administration of the University of North Carolina collects educational data from the sixteen constituent institutions on a regular basis. These data are used for long-range planning, legislative information, budget requests, and many other purposes. Data pertaining to the CEU are useful in documenting the substantial contribution of the University in the field of non-credit educational activities. The following information about activities awarding CEUs during the preceding fiscal year is therefore requested by the General Administration as a part of the regular annual reporting requirements submitted by October 15:

1. total number of CEUs awarded by the institution;
2. number of programs for which CEUs were awarded;
3. number of participants receiving CEUs.

400.1.9[g]: Adopted 01/22/80

400.1.10[G] Guidelines on Teacher Education Program Actions under Resolution 27 of the 1983 General Assembly

During the 1983 Session, the General Assembly adopted Resolution 27 (House Bill 334) that urges the Board of Governors and the State Board of Education "to develop and implement experimental programs designed to improve the quality of the teaching in the public schools including exchanges among teachers in the public schools and university faculty members teaching courses in educational methods ... "

In that regard, there were discussions with the chancellors and with members of the University Council on Teacher Education about how to respond most effectively to the particular interest in exchanges expressed in the Resolution. Given the importance of this issue and the need to assure that the University is taking steps to strengthen every aspect of its teacher education programs, the institutions should initiate the following actions:

1. Arrangements should be made annually to assign at least two full-time faculty members in "educational methods" to teach in appropriate subject areas in public schools for a period of at least ten (10) consecutive school days. In association with such assignments, teachers from participating public schools should be invited to meet with methods classes. "Educational methods" is defined here to include courses in teaching methods and pedagogical techniques and the supervision of student teaching.

2. All such arrangements are to be reported when they are established so that timely reports can be made to the General Assembly. The institutions should submit annual reports to General Administration and the University Council on Teacher Education will be asked to assist in a review and evaluation of these activities.

These activities offer another opportunity for the University to improve its teacher education programs and to broaden our cooperation with individual schools and with the State Board of Education.

[This is a rewrite of Administrative Memorandum #197.]

Attachment: Resolution 27

General Assembly of North Carolina Session 1983
Ratified Bill
Resolution 27
House Bill 334

A JOINT RESOLUTION TO IMPROVE THE COMPETENCE OF FACULTY MEMBERS IN EDUCATIONAL METHODS IN THE UNIVERSITY, THE PRIVATE COLLEGES AND UNIVERSITIES AND IN THE PUBLIC SCHOOLS OF NORTH CAROLINA.
Whereas, the effectiveness of teachers in the public schools of North Carolina depends heavily upon the competence and ability of the faculty members in all approved college and university teacher education programs; and

Whereas, teaching competencies can be more effectively defined and developed by professionals with knowledge and experience pertinent to the contemporary public school classroom and through regular participation in teaching and learning; now, therefore, be it resolved by the House of Representatives, the Senate concurring:

Section 1. The Board of Governors of The University of North Carolina and the State Board of Education are encouraged to develop and implement experimental programs designed to improve the quality of the teaching in the public schools including exchanges among teachers in the public schools and university faculty members teaching courses in educational methods in constituent institutions of the University of North Carolina, and the faculty members in private colleges and universities having approved teacher education programs to participate in exchanges and other experimental programs.

Section 2. The Board of Governors and the State Board of Education shall report to the Committees on Education and the Committees or Higher Education of the Senate and the House of Representatives on the progress of this program at the meeting of the 1983 General Assembly, Second Session, 1984.

Section 3. This resolution is effective upon ratification. In the General Assembly read three times and ratified, this the 10th day of June, 1983.

James C. Green
President of the Senate

Liston B. Ramsey
Speaker of the House of Representatives

400.1.10[G]: Adopted 05/10/84, Repealed 11/14/17

400.1.11[G] Guidelines on Contracting with Community Colleges to Offer Remedial Instruction

The following are guidelines concerning arrangements between a University campus and a nearby community college to offer remedial instruction on the campus. Some of the institutions within the University have entered into such contracts and others have been encouraged to do so when it improves the cost effectiveness or educational value of remedial coursework. When courses are offered under such contracts the credit hours associated with them should be:

1. included in the community college FTE count but not in the campus FTE count for Regular Term Enrollment;
2. included in determining the student’s course load for purposes of establishing eligibility for financial aid at the institution;
3. excluded in determining the student’s tuition charges at the institution except that the campus may act as fiscal agent for the community college in collecting its tuition and fee charges;
4. included in the student record at the institution and at the community college; and
5. included in the Freshmen Performance File and Student Data File collected by this office. The cost of faculty and staff employed by the community college and the cost of student tuition and course fees that the campus may collect on behalf of the community college should not be included in expenditure data on remedial instruction that are reported annually to the vice president for academic affairs.

(This is a rewrite of Administrative Memorandum #325.)

400.1.11[g]: Adopted 07/09/92

400.1.12 Awarding of Joint Degrees in the University of North Carolina

A Joint Degree is a degree awarded by two or more UNC constituent institutions or a UNC institution and a non-UNC educational institution who are participating in a joint degree program. A joint degree will carry the names of two or more institutions on the student’s diploma.

Joint Degree programs must be approved by the Board of Governors and proposals are to follow a process similar to that for the approval of a degree program for a single campus. Upon approval by the Board of Governors, UNC institutions may award joint degrees in the approved programs. The president will promulgate regulations for implementing the awarding of joint degrees.

400.1.12: Adopted 04/11/03

400.2 Long-Range Plan

400.2.1 Long-Range Planning

Every two years, the president, with input from the constituent institutions, shall present to the Board of Governors for adoption, a long-range plan covering a five-year period. Such plan shall outline the process for linking enrollment, academic program, and facilities planning, and expansion budget and capital improvements requests with the mission, direction, and programmatic priorities of the University. It shall also include a process to promote the continuing progress of the University of North Carolina in increasing the enrollment and retention of minority students at all constituent institutions, thereby diversifying the student bodies of those campuses.

Upon adoption, the long-range plan shall be forwarded by the chairman of the Board of Governors to the Governor, Lieutenant Governor, President Pro Tempore of the Senate, Speaker of the House of Representatives, and members of the Advisory Budget Commission. The senior vice president for academic affairs shall maintain a copy of each long-range plan that has been adopted by the Board of Governors.

400.2.1: Adopted 09/14/01
The UNC Fiscal Accountability/Flexibility Act, which was enacted by the 1991 General Assembly as a part of the appropriations bill, Chapter 689 of the 1991 Session Laws, authorized the Board of Governors to designate one or more institutions as special responsibility constituent institutions. Since the adoption of this policy, all campuses have been awarded this designation.

Section 116-30.5 of the Act provides that:

The Board of Governors shall require each special responsibility constituent institution to include in its institutional effectiveness plan those assessment measures that are determined by the Board to be measures that will assure some standard measure of student learning and development in general undergraduate education at the special responsibility constituent institutions. The intent of this requirement is to measure the impact of G.S. 116-30.1 through G.S. 116-30.5, establishing and administering special responsibility constituent institutions, and their implementation on undergraduate student learning and development.

The Board of Governors adopts the attached goals and assessment measures for special responsibility institutions. Using these measures, these institutions will focus attention on student performance during the first two years, track student progress during the next two to four years, and follow up every four years with an assessment by baccalaureate graduates of their educational experience as undergraduates.

**Fiscal Accountability Goals and Assessment Measures**

**Goal 1. To enhance student learning and development.**

The performance of all first-time full-time freshmen will be reported on the following measures:

1. Percent completing the first year with a GPA equal to or greater than 2.0.
2. Percent completing the first year with a GPA equal to or greater than 0 and with 30 or more credit hours or coursework completed.
3. Average grades in first year courses completed.
4. Percent completing the second year with a GPA equal to or greater than 2.0.
5. Percent completing the second year with a GPA equal to or greater than 2.0 and with 60 or more credit hours of coursework completed.
6. Average grades in courses completed.

**Goal 2. To improve student persistence and graduation.**

The persistence and graduation rates of all first-time freshmen, including those student who transferred to another UNC institution — with a comparison of those students who attended full-time in all fall semesters with those who attended full-time in their first-time semester but part-time in one or more succeeding fall semesters — will be reported for the following years:

1. Four-year persistence and graduation rates.
2. Five-year persistence and graduation rates.

**Goal 3. To strengthen the undergraduate degree program.**

The self-assessment of spring baccalaureate graduates in the Class of ‘92 will be compared to the self-assessment of the spring graduates in the Class of ‘88 on the following measures which evaluate their undergraduate educational experience:

1. intellectual growth
2. writing skills
3. speaking skills
4. mathematical skills
5. computing skills (new measure in 1992)
6. analytical skills
7. preparation for graduate and professional studies
8. job satisfaction reported by fully employed graduates
9. overall instruction
10. instruction in major field

The assessment measures related to Goal 3 will be reported every four years, following the quadrennial administration of the baccalaureate graduate survey. All other measures will be reported by the special responsibility institutions as a part of their regular institutional assessment reports.
400.3 Tenure and Teaching in the University

400.3.1 Tenure and Teaching in the University of North Carolina  
September 1993

[This policy has been published in a separate pamphlet, copies of which are available through General Administration, Office of the Secretary.]

400.3.1.1 [G] Guidelines on Tenure and Teaching in the University of North Carolina

I. Introduction

At the November 1992 meeting of the Board of Governors, questions were raised about the procedures and criteria for the awarding of tenure and about the evaluation, recognition, and reward of teaching, particularly in tenure decisions. The chairman of the board referred the questions and concerns to two standing committees, the Committee on Personnel and Tenure and the Committee on Educational Planning, Policies, and Programs. The report entitled, Tenure and Teaching in the University of North Carolina, adopted by the board on September 10, 1993, distilled what was learned by the committees and recommended additional steps to encourage good teaching within the university and to see that the quality of teaching continues to be a prime consideration in tenure decisions.

In its report, the board reaffirmed the concept of tenure. The central question that led to the review was whether sufficient consideration is given to the quality of teaching when tenure decisions are made. The board recognized that the relative importance given to the three major functions of teaching, research, and public service varies at specific institutions depending upon their respective missions. Nevertheless, the report confirms that, regardless of classification, "each institution should view teaching as a core requirement. The board states in its long-range plan that teaching or instruction is the primary responsibility of each of the UNC institutions. Thus while neither teaching nor service nor research is the sole measure of a faculty member's competence and contribution at any UNC institution, teaching should be the first consideration at all of the UNC institutions."

UNC Policy Manual
II. Recommendations

This policy lists the recommendations adopted by the Board of Governors and provides instructions to be followed by the constituent institution in complying with them.

1. That the Board of Governors, through the president of the University, instruct the chancellors of each constituent institution to do the following:
   a. Review institutional mission statements, tenure policies, and the criteria for making faculty personnel decisions and, where necessary, to revise them so as to give explicit recognition to the primary importance of teaching in the University.
   b. Revise institutional policies and procedures, as necessary, to require (1) that clear and specific statements of criteria for evaluation of faculty performance at every level (institutions, college/school, department) are provided in writing and discussed with each probationary faculty member before initial employment and at the beginning of the first term of employment and with each candidate being reviewed for reappointment or tenure at the beginning of the year in which the review is scheduled to be made, and (2) that a record of these discussions be kept in the individual's personnel file;
   c. Review procedures for the evaluation of faculty performance to ensure (1) that student evaluations and formal methods of peer review are included in teaching evaluation procedures, (2) that student evaluations are conducted at regular intervals (at least one semester each year) and on an ongoing basis, (3) that peer review of faculty includes direct observation of the classroom teaching of new and non-tenured faculty and of graduate teaching assistants, and (4) that appropriate and timely feedback from evaluations of performance is provided to those persons being reviewed.

   Any proposed revision to institutional mission statements necessitated by the review referenced in Recommendation 1.a. should be submitted to the president by January 21, 1994, so that they can be acted upon prior to adoption of the revised long-range plan. A full report on actions taken in response to Recommendation 1 with respect to criteria for faculty personnel decisions and policies and procedures for evaluation of faculty teaching performance at both the undergraduate and graduate levels should be sent to General Administration by April 4, 1994. Proposed changes to tenure policies and regulations, which require the approval of the president and the board, should be separately identified in the report.

2. That the President of the University be asked to report on these reviews to the Board of Governors by July 1, 1994.

3. That the Board of Governors, through the President of the University, call upon the chancellors of institutions which do not now have awards for outstanding teaching to establish such awards either campus-wide or at the college/school level.

   Institutions that do not now have awards for outstanding teaching should submit a report on the actions taken in response to Recommendation 3 by April 4, 1994.

4. That the Board of Governors create annual system-wide teaching awards with monetary stipends which are designated "Board of Governors' Awards for Excellence in Teaching." (The Chairman of the Board of Governors should name an ad hoc committee to work out the details and present recommendations concerning implementation of this proposal.)

   Chairman Poole has appointed an ad hoc committee to work out the details to implement the awards. Institutions are invited to submit recommendations or suggestions by December 1, 1993, for the consideration of this committee.

5. That the Board of Governors seek appropriations for each campus in biennial budget requests to establish or to strengthen centers and activities designed to encourage and support teaching excellence and to improve teaching effectiveness throughout the University.

   The report recognized the special efforts of many institutions to emphasize professional development activities intended to have a direct and positive impact on teaching. But it also acknowledged that greater efforts need to be made in this regard at a number of campuses, especially those with limited resources available for such initiatives. Despite financial strains, it declared that "each institution should allocate a portion of its budget for faculty development and target a specific part of that for the development of teachers and teaching." It is the board's clear expectation that an institution which does not have a special center for teaching and learning should plan to create such a center as soon as possible. The report also urged institutions to provide tangible incentives and encouragement for tenure and non-tenured faculty and graduate teaching assistants to take advantage of these professional development opportunities. In addition, Recommendation 5 commits the board to seek appropriations in biennial budget requests to give greater support to centers and activities designed to encourage and support teaching excellence.

6. That greater efforts be made to develop and strengthen the teaching skills of graduate students, and that the Board of Governors ask the President to prepare, in consultation with the University-wide Graduate Council, a report with specific guidelines and recommendations for the training, monitoring, and evaluation of graduate students who teach courses in UNC institutions.

   A committee from the University-wide Graduate Council is addressing this recommendation and should report to General Administration by February 1, 1994. Thereafter, the council's proposals will be shared with constituent institutions for their reactions and comments.

[This is a rewrite of Administrative Memorandum #338.]

400.3.1.[g]: Adopted 09/28/93

400.3.2 The Tenure Regulations of the Constituent Institutions

The president of the University shall maintain a compilation, either in printed or electronic form, of each constituent institution's tenure regulations adopted in accordance with Section 602 of The Code of the University of North Carolina. Each campus shall separately publish its tenure regulations and distribute them to its faculty.

400.3.2: Adopted 09/14/01

400.3.3 Performance Review of Tenured Faculty

The Board of Governors adopts the following policy concerning performance reviews of tenured faculty:

   1. The system of post-tenure review in the University of North Carolina shall incorporate the following principles:
Guidelines to assist in formulating institutional policy concerning performance reviews of tenured faculty are set out below. These guidelines have been developed to support and encourage excellence among tenured faculty by:

1. Recognizing and rewarding exemplary faculty performance (performance that exceeds expectations);
2. Providing for a clear plan and timetable for improvement of performance of faculty found to be deficient; and
3. For those whose performance remains deficient, providing for the imposition of appropriate sanctions which may, in the most serious cases, include a recommendation for discharge consistent with Chapter VI of The Code of the University.

The system of review will encompass and acknowledge the importance and significance of annual performance reviews while providing for comprehensive, periodic, cumulative review of the performance of all faculty, whose primary professional responsibilities are teaching, research, and/or service.

The review procedure must provide for the evaluation over an appropriate period of time of all aspects of professional performance of faculty relative to the mission of the institution, college, and program. For each tenured faculty member, a cumulative review shall take place no less frequently than every five years. A review undertaken to grant tenure or to decide on promotion qualifies as such a cumulative review.

There must be peer involvement in the review.

Both the department chair/unit head and the dean must conduct an evaluative review in the cumulative review process.

The provost must annually certify that all aspects of the post-tenure review process are in compliance with this policy and any associated guidelines adopted by the president of the University.

Institutional policies for post-tenure review must not abrogate, in any way, the criteria and procedures for due process and for discharge or other disciplinary action established in Chapter VI of The Code of the University.

While constituent institutions may wish to consider individual development or career plans for all faculty as a part of the review system, each performance review system must require such a plan for each faculty member who does not meet expectations in the cumulative review. These individual development or career plans must include specific steps designed to lead to improvement, a specified timeline in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated timeline.

In proposing its policies, each constituent institution must consider the resources necessary to support and facilitate a meaningful review system and its outcomes.

2. That within the broad principles approved in 1., above, each constituent institution will develop policies and procedures for review that will reflect the mission of the institution. Development a system of post-tenure review will require re-examination of the effectiveness of current faculty personnel policies as well as planning and program review policies.
3. That the president of the University will adopt guidelines that include training and process requirements and provide for periodic reviews to ensure compliance with this policy and the guidelines.
4. Each institution shall adopt and maintain policies for the performance review of tenured faculty that are consistent with this policy.
5. That the policies and procedures developed by each constituent institution will be effective upon review and approval by the president of the University, or his or her designee, in accordance with any regulations or guidelines adopted.

Note: "Because of the unique character and mission of the University of North Carolina School of the Arts[11] the requirement that the institution adopt tenure policies will be satisfied at that institution based on renewable contracts. . ." (The Code). Therefore, the recommendations contained herein are not applicable to the North Carolina School of the Arts.

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This policy was initially adopted based on the recommendations contained in the report of the University of North Carolina Committee to Study Post-Tenure Review entitled, "Post-Tenure Review in The University of North Carolina." The full text of the report is available at UNC General Administration.

Name changed from North Carolina School of the Arts to University of North Carolina School of the Arts effective August 1, 2008.

400.3.3: Adopted 05/16/97, Amended 10/17/08, Amended 06/20/14

**400.3.3.1[G] Guidelines on Performance Review of Tenured Faculty**

**Background**

At its meeting on May 16, 1997, the Board of Governors adopted the recommendations in the report of the University of North Carolina Committee to Study Post-Tenure Review. A copy of that report is available at General Administration. Post-tenure review is defined in the report as "a comprehensive, formal, periodic evaluation of cumulative faculty performance, the prime purpose of which is to ensure faculty development and to promote faculty vitality" (p. 8).

The report asserts that review of the performance of tenured faculty in the University shall be "to support and encourage excellence among tenured faculty by:"

1. Recognizing and rewarding exemplary faculty performance;
2. Providing for a clear plan and timetable for improvement of performance of faculty found deficient; and
3. For those whose performance remains deficient, providing for the imposition of appropriate sanctions, which may, in the most serious cases, include a recommendation for discharge" (p. 12).

The report also provides broad principles for carrying out such reviews but leaves room for each institution to develop the details of its own process following the release of guidelines by General Administration. In keeping with Section 602 of The Code, the board of trustees of each constituent institution shall adopt the policies and regulations governing performance reviews of tenured faculty. Institutional policies and procedures will also be approved pursuant to Policy 400.3.3 and should be included in all appropriate documents of the constituent institutions.

The report further specifies that "developing a system of post-tenure review will require reexamination of the effectiveness of current faculty personnel policies as well as planning and program review policies" (p. 13). Initiation of these performance reviews in the University of North Carolina provides constituent institutions with an opportunity to create a policy that examines individual faculty contributions to departmental, school/college, and university goals as well as to the academic programs in which faculty teach. Thoughtful attention to the ways in which post-tenure review can promote faculty vitality across their careers will assure that such reviews lead to increased effectiveness within the university.

Guidelines to assist in formulating institutional policy concerning performance reviews of tenured faculty are set out below. These guidelines have been promulgated and are periodically reviewed to assure the continuing rigorous application of post-tenure review as intended by the Board of Governors as described in Policy 400.3.3.

**Guidelines**
Each constituent institution shall observe the following guidelines in developing or revising institutional policies and procedures for post-tenure review:

1. Proposed revised policies must be submitted to General Administration for approval in accordance with any timeframe established and communicated by the president of the University, or his or her designee.

2. Institutional policies shall assure that each tenured faculty member undergoes a cumulative review no less frequently than every five years. (Note: a review undertaken to grant tenure or to decide on promotion qualifies as such a cumulative review.)

3. Institutional policies shall assure that faculty performance will be examined relative to the mission of the institution, college, and program.

4. Institutional policies shall be in compliance with the criteria and procedures for due process and for discharge or other disciplinary action established in Chapter VI of The Code of the University.

5. Post-tenure reviews shall evaluate all aspects of the professional performance of faculty, whose primary responsibilities are teaching, and/or research, and/or service. If faculty responsibilities are primarily only in one or two of these areas, the post-tenure review and resulting recommendations should take this allocation of responsibilities into account.

6. At the beginning of the post-tenure review cycle, the faculty member shall develop with his/her department chair a five-year goal or plan. This plan can be modified annually by the faculty member, in consultation with the department chair, as deemed appropriate by changes in institutional, departmental, or personal circumstances. This plan should indicate milestones aligned with annual performance evaluations.

7. Institutional policies shall show the relationship between the annual performance review of tenured faculty and the post-tenure review criteria. Annual performance reviews, however, are not a substitute for the "comprehensive, periodic, cumulative review" required by the Board of Governors. The post-tenure review process can be informed by annual reviews but must involve an additional assessment as described in these guidelines.

8. Institutional policies shall explicitly involve peers in the post-tenure review process. A peer review committee for a department or academic unit will be selected by a process agreed upon by the tenured faculty in that unit. The faculty member being reviewed will not have the option of selecting members of the peer review committee. The department chair or academic unit head must consult with the peer review committee in rendering his or her evaluation. Deans must provide an evaluative review in addition to the review conducted by the peer review committee and the department chair. The provost must certify that all aspects of the post-tenure review process for that year are in compliance with policy and guidelines.

9. Institutions shall provide ongoing support and training for all post-tenure review evaluators, including peer review committee members, department chairs or academic unit heads, and deans. UNC General Administration will prepare digital training modules that focus on the basics of state personnel policy and UNC policies, regulations, and guidelines related to personnel and tenure; the essential elements of a useful and thoughtful review; how to prepare, conduct, and manage a meaningful review process; and how to provide constructive criticism in a positive manner. Campuses shall ensure that all post-tenure review evaluators benefit from these modules and receive training in campus-specific policies and procedures. In submitting required annual post-tenure review reports, the provost will also certify that required training has been conducted.

10. UNC General Administration will evaluate the training and post-tenure review processes of all campuses during the 2016-2017 fiscal year. In subsequent years, UNC General Administration shall review the post-tenure review processes of all campuses on a three-year rotating cycle unless irregularities at a particular campus are identified. If such irregularities are identified, then UNC General Administration shall conduct more frequent reviews of that institution as deemed appropriate by the president or his or her designee. As part of this review, the president or his or her designee will certify that the constituent institution is in compliance with all aspects of the policy and guidelines.

11. Institutional policies shall establish at least three assessment categories. These categories must reflect whether a faculty member exceeds expectations, meets expectations, or does not meet expectations. Institutional policies also shall assure that there is written feedback to the faculty member being reviewed as well as a mechanism for the faculty member to respond to the evaluation. As intended by the Board of Governors, this feedback should include recognition for performance that exceeds expectations. Because performance rewards are often part of the annual review process, the post-tenure review may provide additional support for this form of recognition. Any review that results in an evaluation that the faculty member does not meet expectations must include a statement of the faculty member’s primary responsibilities and specific descriptions of shortcoming as they relate to the faculty member’s assigned duties and the directional goals established. A faculty member’s response to a review that the faculty member does not meet expectations will also be shared at the next highest administrative level.

12. Institutional policies shall require individual development or career plans for all faculty members who do not meet expectations in the cumulative review. These plans must include specific steps designed to lead to improvement, a specified timeline in which improvement is expected to occur, and a clear statement of consequences should improvement not occur within the designated timeline. The use of mentoring peers is encouraged, and progress meetings with the department chair or academic unit head must occur on at least a semi-annual basis during the specified timeline. If duties are modified as a result of an assessment that the faculty member does not meet expectations, then the development or career plan should so indicate and take into account the new allocation of responsibilities.

As policies are developed and revised, institutions consider resource implications of a meaningful performance review system, identifying in advance the sources of support for the process and its outcomes.

Implementation of revised institutional policies will be effective upon approval as provided in Policy 400.3.3.

400.3.3.1(G): Adopted 06/24/97, Amended 03/10/08, Amended 06/20/14, Amended 08/17/15

400.3.4 Monitoring Faculty Teaching Workloads

Introduction:

As a result of findings and recommendations of the 1995 Legislative Study Commission on the Status of Education at the University of North Carolina, the 1996 Session of the General Assembly enacted House Bill 229, Section 15.9 entitled "Rewarding Faculty Teaching." The bill requires:

The Board of Governors shall design and implement a system to monitor faculty teaching workloads on the campuses of the constituent institutions.

The Board of Governors shall direct constituent institutions that teaching be given primary consideration in making faculty personnel decisions regarding tenure, teaching, and promotional decisions for those positions for which teaching is the primary responsibility. The Board shall assure itself that personnel policies reflect this direction.

The Board of Governors shall develop a plan for rewarding faculty who teach more than a standard academic load.

The Board of Governors shall review the procedures used by the constituent institutions to screen and employ graduate teaching assistants. The Board shall direct that adequate procedures be used by each constituent institution to ensure that all graduate teaching assistants have the ability to communicate and teach effectively in the classroom.

The Board of Governors shall report on the implementation of this section to the Joint Legislative Education Oversight Committee by April 15, 1996.

System to Monitor Faculty Teaching Loads:

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All campuses and constituent institutions will develop and implement policies and procedures to monitor faculty teaching loads and to approve significant or sustained variations from expected minimums. Policies must include the criteria and approval process for reductions in institutional load attendant to increased administrative responsibilities, externally-funded research, including course buy-outs, and additional institutional and departmental service obligations. Given the complexity of faculty work activities, individual faculty teaching loads are best managed at the department and school level, and not the system or state level. However, to ensure meaningful comparisons of faculty teaching load over time and across peers, all campuses shall adopt a standard methodology for collecting data on teaching load. This standard is described below.

For reporting purposes the Board of Governors will annually review data from the National Study of Instructional Costs & Productivity (The Delaware Study)[1] of teaching loads for full time equivalent faculty within the University. The Delaware Study provides comparable teaching data at the discipline level using the following faculty categories: regular tenure stream, other regular, supplemental and teaching assistants. Teaching load is derived by the number of organized class courses a faculty member is assigned in a given semester. Courses that are not conducted in regularly scheduled class meetings, such as "readings," "special topics," "problems" or "research" courses, including dissertation/thesis research, and "individual lesson" courses (typically in music and fine arts) are excluded from the Teaching Load calculation.

* [Supersedes and Replaces the prior UNC Policy 400.3.4 "Monitoring Faculty Teaching Workloads" as this version was approved by the Board of Governors on January 11, 2013]

Standard annual teaching loads will be differentiated to accommodate the diverse missions of the individual campuses. These differences will be captured by Carnegie Classification.[2] Standard faculty teaching load measured by number of organized class courses a faculty member is assigned in a given academic year is the following:

- Research Universities I:4
- Doctoral Universities I:5
- Masters (Comprehensive) I:6
- Baccalaureate (Liberal Arts) I:8
- Baccalaureate (Liberal Arts) II:8

**Distinction between Teaching, Instructional, and Total Faculty Workload:**

In addition to teaching load, as defined above, instructional workload also includes developing materials for a new course, developing courseware or other materials for technology-based instruction, supervising undergraduate research and masters theses and doctoral dissertations, directing students in co-curricular activities such as plays, preparing and equipping new laboratories, supervision of teaching assistants, and academic advising.

To ensure that course material delivered in the classroom is relevant, faculty perform scholarly activities such as research, scholarship, and creative expression. These activities may include writing articles, monographs, and grant proposals, editing a scholarly journal, preparing a juried art exhibit, directing a center or institute, or performing in a play, concert, or musical recital.

Faculty also engage in service activities that inform classroom teaching and student learning. These activities may include responses to requests for information, advice, and technical assistance as well as instruction offered directly through continuing education. Service includes training and technology transfer for business and industry, assistance to public schools and unit of government, and commentary and information for the press and other media. Service also includes time spent internal to the university which may include participation in faculty governance, serving on search committees for new faculty, and preparing for discipline accreditation visits.

In order to appropriately monitor and reward faculty teaching, evaluations must be placed in the context of total faculty workload. Therefore, all campuses and constituent institutions shall implement annual faculty performance evaluation policies that measure and reward all aspects of faculty workload, separately and in combination, consistent with the instructional mission.

**Rewarding Teaching:**

The board’s intent is that measures described in the previous section will lead to personnel policies and decisions that take due account of each faculty member’s contribution to the undergraduate teaching mission of the institution. The President and the board are concerned that faculty be rewarded both for the quantity and even more for the quality of teaching. Concerning quality, the board notes the enthusiastic support from campuses and the public for its teaching awards. It takes pride in the standard for teaching excellence that is set by award recipients.

All policies and procedures required under the UNC Policy 400.3.4 must be submitted by campuses and constituent institutions to General Administration and approved by the president.

[1] The National Study of Instructional Costs & Productivity ("The Delaware Study") is the acknowledged "tool of choice" for comparative analysis of faculty teaching loads, direct institutional cost, and separately budgeted scholarly activity, all at the level of the academic discipline.

[2] The Carnegie Classification™ is a framework for recognizing and describing institutional diversity in U.S. higher education. This framework has been widely used in the study of higher education, both as a way to represent and control for institutional differences, and also in the design of research studies to ensure adequate representation of sampled institutions, students, or faculty.

400.3.4*: Adopted 04/12/96, Amended 03/07/01, Amended 01/11/13

**400.3.4[R] Regulations Related to Monitoring Faculty Teaching Workloads**

I. Purpose

In order to monitor constituent institutions’ faculty teaching workloads in a consistent manner across the University, it is necessary to define the means and standards by which faculty teaching workload data shall be reported.

II. Procedures for Collecting Data

A. Data Collection Format. The University of North Carolina campuses will use the National Study of Instructional Costs and Productivity (Delaware Study) Data Collection Form for reporting.

B. Data Consistency
1. All UNC institutions of higher education, except for UNC School of the Arts, will follow the Delaware Study data definitions to complete the Data Collection Form.

2. To further ensure consistency, the following University of North Carolina defined Instructional Formats will be reported to the Delaware Study as an “Organized Class:”
   a. Lab. A course requiring scientific- or research-focused experiential work where students test, observe, experiment, or practice a field or discipline in a hands-on environment, typically held in 210 designated spaces.
   b. Studio. A course requiring visual- or aesthetic-focused experiential work where students test, observe, experiment, or practice a field or discipline in a hands-on environment.
   c. Lecture. A course requiring the extended expression of thought supported by generally-accepted principals or theorems of a field or discipline led by an expert or qualified representative of the field or discipline.
   d. Seminar. A course requiring students to participate in structured conversation or debate focused on assigned readings, current or historical events, or shared experiences led by an expert or qualified representative of the field or discipline.
   e. Lecture and lab. A course that requires the combined attributes of a lecture course and a lab course.
   f. Recitation. A course requiring the extended expression of thought supported by generally accepted principals or theorems of a field or discipline led by a teaching assistant or instructor under the guidance of a permanent faculty member, which often supplements or expands upon the content of a related or co-requisite course.

400.3.4(R): Adopted 01/17/13, Amended 08/04/16

400.3.5 Training, Monitoring, and Evaluating Graduate Teaching Assistants

In September 1993, the Board of Governors of the University of North Carolina adopted a report entitled Tenure and Teaching in the University of North Carolina. With respect to graduate teaching assistants, the report made the following recommendation:

That greater efforts be made to develop and strengthen the teaching skills of graduate students, and that the Board of Governors ask the president to prepare, in consultation with the University-wide Graduate Council, a report with specific guidelines and recommendations for the training, monitoring, and evaluation of graduate students who teach courses in UNC institutions.

At the president’s request, the Graduate Council, consisting of graduate deans and representatives of the graduate faculties at the various institutions, drafted a proposed set of guidelines and recommendations which were approved by the Board of Governors on June 10, 1994. The Board recognizes the procedures that UNC institutions have put into place since 1994 to ensure that GTAs are well-trained, supervised, and evaluated.

UNC institutions should continue their efforts to develop and strengthen the teaching skills of graduate teaching assistants. The president may issue guidelines on the training, monitoring, and evaluation of graduate teaching assistants and on the format required for reporting on these matters.

400.3.5: Adopted 06/10/94, Amended 04/12/96, Amended 01/13/06

400.3.5.1[G] Guidelines on Training, Monitoring, and Evaluating Graduate Teaching Assistants

I. Introduction

The University has an obligation to produce effective, dedicated, well-trained teacher-scholars to fill faculty ranks in the future. Graduate teaching assistants are a major means by which the University introduces young scholars to the professoriate.

Graduate teaching assistants are chosen from highly qualified students who have been accepted into the graduate programs of the University. The number and role of these assistants varies from institution to institution depending on the size of the graduate program, the particular culture of the institution, and the resources available to the institution for their training and support.

By supporting graduate students with assistantships, the University is able to compete in the recruitment of the very best applicants to our nationally recognized programs. The presence and service of bright and promising graduate students make our constituent institutions more valuable resources to the state and the nation.

Guided and supported by senior members of the profession, graduate students can grow in understanding and appreciation for the craft of their discipline through supervised practice and application of teaching and research methodologies.

In September 1993, the Board of Governors of the University of North Carolina adopted a report entitled Tenure and Teaching in the University of North Carolina, which included the following recommendation:

That greater efforts be made to develop and strengthen the teaching skills of graduate students, and that the Board of Governors ask the President to prepare, in consultation with the University-wide Graduate Council, a report with specific guidelines and recommendations for the training, monitoring, and evaluation of graduate students who teach courses in UNC institutions.

In the years since the Board adopted this recommendation, UNC campuses have established or enhanced procedures to develop and strengthen the teaching skills of graduate teaching assistants (GTAs) and have reported annually to the president and, through the president, to the Board of Governors on these efforts. In light of the procedures established by UNC institutions to ensure that GTAs are well-trained, supervised, and evaluated, the president issues the following guidelines.

II. Guidelines

The use of graduate teaching assistants within the university is subject to the principles and standards of the regional accrediting body, the Commission on Colleges of the Southern Association of Colleges and Schools (SACS). Institutions employing graduate teaching assistants should consult the current SACS standards, including Comprehensive Standard 3.7.1, Credential Guidelines:

Graduate teaching assistants: master’s in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluation.

In addition, the following University guidelines have been established to ensure that graduate teaching assistants receive the appropriate training, monitoring, and evaluation.

1. Graduate teaching assistants must possess a demonstrated competence in the subject matter that they will be teaching as determined by experts in the field. They should have an appreciation for the theory and practice of the subject matter as well as an appreciation for the teaching and learning enterprise by means of required and optional teaching seminars, symposia, workshops, publications, and access to university staff resources. Competency to teach includes an effective command of the language of instruction, usually American English, and an appreciation for the culture of the American university classroom.

Appropriate procedures to assure competence include the following:

- GTAs will be offered a Teaching Contract from the hiring department or institution which outlines (a) educational requirements, (b) job requirements, (c) duties, and (d) performance standards. A logical and effective match must be established between the level and requirements of the teaching assignment and the experience and knowledge of the prospective GTA.

- In departments where teaching assistantships range from grading and discussion-group leadership to full-course responsibility, GTAs will be assigned to independent classes only after they have performed effectively in a less independent setting.

- Formal training and evaluation programs will be provided for GTAs who are assigned the responsibility for teaching an undergraduate class. At the beginning and during that assignment, the hiring department will provide resources and opportunities for continued growth and development of the GTAs in the theory and practice of teaching. These resources may be school-wide programs, departmentally based programs in discipline-centered pedagogy, programs developed by several participating departments, off-campus programs offered by other institutions or professional associations, or individual mentoring with faculty.

- Departments will provide GTAs and their faculty supervisors with appropriate written guidelines on academic procedures and provisions for formal training and evaluation. The information should include a directory of other university resources available for the further development and training of the GTA.

- The hiring department will verify that GTAs whose first language is not English possess adequate English language proficiency and communication skills. This verification will be in the form of a standardized test which includes an evaluation of verbal skills, supplemented by a personal review by the department's supervising faculty mentor. English as a Second Language courses and other activities, or alternative assignments for assistantships, will be provided to the GTA who does not meet adequate standards of English language proficiency.

- Offices that work with international students will be requested to cooperate with campus and departmental programs for international teaching assistants (ITAs) to facilitate their awareness of the culture of the American university classroom and approaches to communicate effectively to undergraduate students.

- Faculty members who train, supervise, mentor and evaluate GTAs do so as a component of their academic assignment. Such faculty will be recognized for their work and accorded opportunities for additional training and professional development.

2. Graduate teaching assistants must be graduate students in good standing in their programs, as defined by the employing institution.

3. Universities will honor effective graduate teaching assistants by establishing appropriate awards and honors to recognize them for outstanding teaching.

4. Universities must establish and maintain effective channels for communication and dialogue between all populations of the university community affected by the work of graduate teaching assistants. This communication may be facilitated in a number of ways, including appropriate representation of GTAs on campus-wide and departmental student-faculty committees and the preparation of a brochure which discusses the role, selection, preparation, and supervision of GTAs, to be distributed to students, their families, and other groups as appropriate.

5. The chief academic officer (CAO) will designate the Graduate School or another appropriate administrative unit to oversee and facilitate the training, mentoring, supervision, and evaluation of graduate teaching assistants. At institutions which use graduate teaching assistants to teach undergraduate courses, the graduate dean or other appropriate administrative unit will report annually to the CAO on the effectiveness of GTAs, their utilization on campus, compensation, training, and the impact of their teaching on the overall teaching mission of the school. In addition, the report will document the impact and effectiveness of teaching by graduate students on their learning and professional development. The report will certify that an evaluation is on record for each GTA by a faculty member to whom the GTA is assigned.

6. Each program that utilizes graduate teaching assistants must develop, regularly update, and file with the appropriate administrative unit, as determined by the CAO, a plan for graduate teaching assistants including a definition of teaching tasks and responsibilities, provisions for support, supervision, and training for each type of teaching assignment, and provisions for feedback and evaluation. The plan should specifically address the selection, funding, training, mentoring, supervision, and evaluation of graduate teaching assistants. Programs must provide for a formal training program, classroom observations, explicit procedures for supervision and evaluation of GTAs. Formal evaluations of each GTA by an assigned faculty member must be kept on record.

400.3.5.1[G]: Adopted 09/22/94, Amended 04/12/96, Amended 01/13/06, Amended 11/14/17

400.3.6 University Teaching Awards

Introduction

At its September 1993 meeting, the Board of Governors adopted a report on Tenure and Teaching in the University of North Carolina. The report, prepared jointly by the Board’s Committee on Personnel and Tenure and its Committee on Educational Planning, Policies, and Programs, reaffirmed the Board’s insistence that teaching is the primary responsibility of each of the 17 constituent institutions of the University. To underscore the importance of teaching and to encourage, identify, recognize, reward, and support good teaching within the University, the Board adopted a set of six specific recommendations, including the following:

That the Board of Governors create annual systemwide teaching awards with monetary stipends which are designated “Board of Governors Awards for Excellence in Teaching.”

I. Annual Awards for Teaching Excellence
   A. The Board of Governors will allocate $352,000 each year for the Awards for Teaching Excellence with approximately one half of the fund ($217,500) to be used each year for a system-wide awards program and the other half ($134,500) to be used for allocations to campuses for
teaching awards.
B. Each year the chair of the Board of Governors will appoint a special committee, or designate a standing committee such as the Committee on Personnel and Tenure, to provide coordination and oversight for the teaching awards programs.
C. The program of awards will be evaluated and revised periodically.

II. System-wide Awards
A. Number of Awards

There shall be a total of 17 Board of Governors Awards annually. One recipient shall be nominated from each of the 17 constituent institutions.

B. Nature of Awards and Recognition

Each recipient of a Board of Governors Award for Excellence in Teaching will receive a citation and a one-time award of $12,500. Presentation of the awards will be made at an appropriate event to be attended by recipients and their guests, members of the Board of Governors, the President and vice presidents of the University, the chancellors or their designees, and other guests.

C. Eligibility for Selection

Any faculty member who has earned tenure[1] at the institution and has taught at the institution for at least seven years is eligible. The recipient must have demonstrated excellent or exceptional teaching ability over a sustained period of time. Potential nominees must be teaching in the academic year in which they are selected.

No faculty member will be eligible to receive this award more than once while teaching at any UNC institution.

III. Institutional Teaching Awards
A. A total of $134,500 will be allocated each year to the 17 constituent institutions to establish additional faculty awards for teaching excellence.
B. Each institution should develop procedures for establishing awards and selecting recipients supported by the Board’s allocation.
C. In establishing these awards, the Board gave special emphasis to the smaller institutions with more limited resources and to those institutions which did not have teaching awards.

In keeping with this objective the following eight institutions are allocated $9,500 each: Elizabeth City State University, Fayetteville State University, North Carolina Central University, University of North Carolina at Asheville, University of North Carolina at Pembroke, University of North Carolina School of the Arts[2], Winston-Salem State University and North Carolina School of Science and Mathematics, with the other nine constituent institutions being allocated $6,500 each for teaching awards.

IV. Guidelines for Implementing the Awards for Teaching Excellence

The president will issue guidelines for the nomination and selection of system-wide teaching awards and the allocation of funds for institutional teaching awards.

[1] At the North Carolina School of Science and Mathematics and the University of North Carolina School of the Arts, a faculty member with a multi-year contract who has taught at the institution for at least seven years is eligible.
[2] Name changed from North Carolina School of the Arts to University of North Carolina School of the Arts effective August 1, 2008.

400.3.6: Adopted 03/24/94, Amended 09/10/04, Amended 07/01/07, Amended 10/17/08, Amended 06/14/13

400.3.6.1[G] Guidelines on University Teaching Awards

These guidelines contain a summary of the steps to be taken by the constituent institutions to implement the policy amended by the Board of Governors on September 10, 2004, on University Teaching Awards.

Implementation of Teaching Awards by the Constituent Institutions

I. System-wide Awards

1. Each institution should have developed detailed, written procedures for nominating one faculty member annually to receive the Board of Governors Award for Excellence in Teaching.
2. The selection of the nominee, who must meet the eligibility criteria established by the Board, shall be made by a campus-wide selection committee.
3. The name of the institution’s nominee, along with convincing supportive evidence (e.g., a portfolio), must be submitted to the president through the chancellor of the nominating institution by February 1 of each year.
4. Portfolios must include:
   A. A brief written statement which articulates each finalist’s teaching philosophy and methods used to achieve educational goals;
   B. Copies of peer evaluation of teaching;
   C. Statements by colleagues and former students of the instructor who have provided letters of support for the nominee;
   D. A copy of the nominee’s resume or curriculum vitae;
   E. A current photograph of the nominee.
   F. Other materials may be included in the portfolio at the discretion of the campus.

   These materials will be returned to the campus after the awards ceremony.

5. The Board of Governors committee charged with overseeing the Teaching Awards process will review the documentation and recommend the names of recipients to the Board of Governors.
6. Once the selection has been made and the recipient of the annual Board of Governors Award for Teaching Excellence has been announced, a
summary of the supporting documentation should be made available to all of the campus community. (The documentation could be placed in the campus library.)

7. The $7,500 award paid to a recipient of a Board of Governors Award for Excellence in Teaching must be in addition to, and not in lieu of, any salary increases (for merit or other reasons) to which an individual recipient may be entitled.

II. Institutional Awards

1. The internal allocation of funds provided for institutional awards must be consistent with institutional procedures as required by the Board in Policy 400.3.6. Eligibility criteria for the awards on the various campuses (i.e., length of service and tenure status, etc.) are to be determined by appropriate committees at the appropriate levels.

2. Each institution must file an annual report by June 15 to the Board of Governors through the President on the internal distribution and use of these allocations for teaching awards.

III. Evaluation of Program of Awards

The Board committee responsible for overseeing the Awards for Teaching Excellence will periodically evaluate the policy (400.3.6), revise it as appropriate, and recommend changes to these guidelines to the president as appropriate.

400.3.6.1[G]: Adopted 4/29/94, Amended 09/10/04

400.3.7 Extension Faculty

Consistent with Session Law 2002-126, Section 9.14, UNC institutions with EPA faculty designated as "Non-Teaching Faculty" in the Cooperative Extension Service or Agricultural Research Service budgets may define those faculty as "Teaching Faculty" if the chancellor determines that the primary work assignment is consistent with a faculty appointment. All employees designated as EPA Faculty will be treated similarly in determining salary adjustments and other benefits. This policy applies only to ranked faculty as defined by the chancellor of each constituent University.

400.3.7: Adopted 09/12/03

400.4 Programs Outside the University

400.4.1 Policy on Standards for Licensure of Nonpublic Degree Granting Postsecondary Activity


II. Definitions

A. "Postsecondary degree" means a credential conferring on the recipient thereof the title of "Associate," "Bachelor," "Master," or "Doctor," or an equivalent title, signifying educational attainment based on:

1. Interactions between faculty and students following a coherent course of study with specified student outcomes; and/or

2. A coherent course of study in which the student and instructor are not in the same place delivered either synchronously or asynchronously with specified student outcomes and faculty-student interaction mediated through electronic means; or

3. A combination of the foregoing; provided, that "postsecondary degree" shall not include any honorary degree or other so-called "unearned" degree. The content and rigor of the curriculum for the degree must be at a level to assure an education of good quality.

B. "Institution" means any sole proprietorship, group, partnership, venture, society, company, corporation, school, college, or university that engages in, purports to engage in, or intends to engage in any type of postsecondary degree activity.

C. "Nonpublic institution" means an institution that is not a constituent institution of the University of North Carolina or the North Carolina Community College System.

D. "Instruction" means delivery of a coherent and formal plan of study constructed for students so that they can demonstrate specific learning outcomes.

E. "Postsecondary degree activity" means:

1. Awarding a postsecondary degree; or

2. Conducting or offering study, experience, or testing for an individual or certifying prior successful completion by an individual of study, experience, or testing, under the representation that the individual successfully completing the study, experience, or testing will receive credit, at least in part, that may be used toward a postsecondary degree.

Postsecondary degree activity includes conduct with respect to either a complete postsecondary degree program or any study, experience or testing represented as creditable toward a postsecondary degree.

F. "Publicly registered name" means the name of any sole proprietorship, group, partnership, venture, society, company, corporation, school, college, or institution that appears as the subject of any Articles of Incorporation, Articles of Amendment, or Certificate of Authority to transact business or to conduct affairs, properly filed with the Secretary of State of North Carolina and currently in force.

G. "Board" means the Board of Governors of the University of North Carolina.

III. Exemption from Licensure

A. Institutions Continuously Conducting Postsecondary Degree Activity in North Carolina since July 1, 1972. Any institution that has been continuously conducting postsecondary degree activity in this State since July 1, 1972, shall be exempt from the provisions for licensure upon presentation to the Board of Governors of information acceptable to the Board to substantiate such postsecondary degree activity and public registration of the institution's names. Any institution that, pursuant to a predecessor statute, had presented to the Board proof of activity and registration such that the Board granted exemption from licensure, shall continue to enjoy such exemption without further action by the Board. [G.S. 116-15(c)]

B. Programs Relative to Religious Education. No institution shall be subject to licensure under this section with respect to postsecondary degree activity based upon a program of study, equivalent experience, or achievement testing, the institutionally planned objective of which is the attainment of a degree in theology, divinity, or religious education or in any other program of study, equivalent experience, or achievement testing that is designed by the institution primarily for career preparation in a religious vocation. This exemption shall be extended to any institution with respect to each program of study, equivalent experience, and achievement test that the institution demonstrates to the satisfaction of the Board should be exempt from licensure requirements. [G.S. 116-15(d)]

C. Institutions Conducting Postsecondary Degree Activity within the Military. To the extent that an institution undertakes postsecondary degree activity on the premises of military posts or reservations located in this State for military personnel stationed on active duty there, or their
dependents, or employees of the military, the institution shall be exempt from licensure requirements.  [G.S. 116-15(f)(e)]  If the institution offers or conducts postsecondary degree activity for other persons, the institution shall be subject to licensure.  Institutions declared exempt under this section shall present annual reports to General Administration describing degree activity and enrollments.

D. Distance Education Conducted Pursuant to a State Authorization Reciprocity Agreement. Any institution conducting postsecondary degree activity in North Carolina pursuant to a State Authorization Reciprocity Agreement to which the State of North Carolina is a party shall be exempt from licensure requirements.

IV. Standards for Licensure. To be licensed to conduct postsecondary degree activity in the State of North Carolina, a nonpublic postsecondary educational institution shall satisfy the Board of Governors that it meets the standards as specified by G.S. 116-15(f) and has demonstrated that its academic programs meet the Board of Governors' standards for an education of good quality.

A. Standard 1 (Charter). The institution shall be state-chartered.  If chartered by a state or sovereignty other than North Carolina, the institution shall also obtain a Certificate of Authority to Transact Business or to Conduct Affairs in North Carolina issued by the Secretary of State of North Carolina.  [G.S. 116-15(f)(1)]

1. Charter. The institution is chartered by the Secretary of State of North Carolina and has been issued a Certificate of Authority to Transact Business or to Conduct Affairs in North Carolina, if applicable.
2. Availability of articles of incorporation. A copy of the articles of incorporation or other relevant business formation documents of the institution and all amendments thereto must be on file in the office of the chief executive officer of the institution and available for review on request during normal working hours by any person.  If the institution is chartered outside North Carolina, a copy of the Certificate of Authority to Transact Business or to Conduct Affairs in North Carolina must also be on file in the office of the chief executive officer and be available for review by any person.
3. Publication of contact information. The address, telephone number, email address, website, and other pertinent contact information of the institution, and of the principal office of the corporation must be published in a manner accessible to students, prospective students, and the public.
4. Availability of articles of incorporation of controlling corporation(s). If the institution is controlled, directly or indirectly, by one or more other business entities, a copy of the governing documents and amendments thereto of each such business entity must also be on file in the office of the chief executive officer of the institution and available for review by any person.
5. Publication of governing board membership of controlling corporation(s). The membership of the governing board of the institution as well as the name and membership of the governing board of any other corporation or corporations, which may control, directly or indirectly, the institution must be published in a manner accessible to students, prospective students, and the public.

B. Standard 2 (Period of Operation). The institution must have been conducting postsecondary degree activity in a state or sovereignty other than North Carolina during consecutive, regular-term academic semesters, exclusive of summer sessions, for at least the two years immediately prior to submitting an application for licensure under this section, or must have been conducting with enrolled students, for a like period in this State or some other state or sovereignty, postsecondary educational activity not related to a postsecondary degree; provided, that an institution may be relieved temporarily of this standard under the conditions set forth herein.  [G.S. 116-15(f)(2) and G.S. 116-15(j)]

1. Availability of interim permit. An institution which meets standards for licensure except for having conducted postsecondary degree activity for at least the two years immediately prior to submitting an application for licensure may be granted an interim permit to conduct postsecondary degree activity if the institution can demonstrate stability, experience, reputation, and performance which two years of operation would normally denote.
2. Review of interim permit. Review of an institution's interim permit may be conducted at any time to determine whether the institution demonstrates compliance with these standards.

C. Standard 3 (Program of Study). The substance of each course, program of study, equivalent experience, or achievement test must be such as may reasonably and adequately achieve the stated objective for which the study, experience, or test is offered in order to be certified as successfully completed.  [G.S. 116-15(f)(3)]

1. Support of mission. The program of study offered by an institution must reflect and support the mission of the institution and be reasonably designed to achieve the stated objectives.  The academic program must ordinarily include provisions for a general education curriculum and specific fields of study at the associate, baccalaureate, or advanced level as appropriate for the mission of the institution.
2. Courses. The institution shall have an academic curriculum that is designed to reasonably and adequately achieve its mission and educational objectives.  The institution shall demonstrate that each academic program for which academic credit is awarded is: (a) approved by the faculty and the administration; and (b) evaluated annually to determine its effectiveness.  Course objectives, prerequisites, the plan of instruction, requirements, and procedures for evaluation must be clearly stated and available to current and prospective students in a written course syllabus.  An institution must provide for annual evaluation of course and program effectiveness including assessment of student learning, retention, and graduation rates, and student and faculty satisfaction.
3. Distance education. Academic standards for courses delivered off-campus or electronically must be the same as for courses delivered at the institution where they originate.  The quality and content of each course, regardless of the mode of delivery, must be such as may reasonably and adequately achieve the stated objective.  Appropriate data must be used to determine comparability.  Such reviews are to demonstrate that student learning outcomes and satisfaction in distance courses delivered electronically are comparable to student learning outcomes and satisfaction in courses offered at the campus where they originate.  The technology being used must be appropriate to meet course objectives.  Instruction employing distance-learning technology must ensure appropriate interaction between students and faculty and among students.
4. General education. If the institution offers associates or bachelor's degrees, or credit which may be used towards associates or bachelor's degrees, then the institution shall offer a general education program at the collegiate level that is a substantial component of each undergraduate degree, ensures breadth of knowledge, and is based on a coherent rationale.  One or more courses, or their equivalencies, shall be taken from each of humanities/fine arts, social/behavioral sciences, and natural science/mathematics.  The institution shall identify appropriate general education competencies, and shall provide evidence that graduates have attained those competencies.  If the institution requires prior completion of a general education program as a condition of admission to an associates or bachelor's degree program, then the institution shall have a defined and published policy for evaluating, awarding and accepting credit for academic instruction, regardless of its mode of delivery.
5. Duration and intensity. The program of instruction must include educational activities extending over a sufficient period of time and in sufficient intensity to fulfill the mission and academic goals of the institution.  The academic year, regardless of its organization, is ordinarily at least 30 weeks in duration.
6. Associate degree. Each educational program leading to an associate degree shall include a general education component at the collegiate level that is a substantial component of each degree, ensures breadth of knowledge, and is based on a coherent rationale.  For degree completion in associate programs, the general education component constitutes a minimum of 15 semester hours or the equivalent.  The associate degree program normally consists of courses carrying a minimum of 60 semester credit hours or 90 quarter hours or the equivalent in instructional activities as measured by the institution.  The associate degree program normally requires full-time attendance for two academic years or the equivalent but an institution may award the associate degree to students who have completed the course requirements at an accelerated pace or can otherwise demonstrate that they have met the measurable objectives of the program.
The following associate degree designations may be awarded:

a. The Associate in Arts (A.A.) degree. Awarded to those who successfully complete a program that emphasizes the liberal arts and/or the fine and performing arts. Programs must meet the general education requirements and provide for substantial additional work in the liberal, fine or performing arts. Such programs, if transfer-oriented, may need to contain additional requirements. The general education core is not directed toward specialized study or specific occupational or professional objectives.

b. The Associate in Science (A.S.) degree. Awarded to those who successfully complete programs which emphasize mathematics and/or the biological or physical sciences and which meet the general education requirements of this degree. In addition to meeting the general education requirements for an associate degree, substantial work must be done in mathematics, and/or the biological and physical sciences. Such programs are designed to serve both career and transfer objectives. Such programs, if transfer-oriented, may need to contain additional requirements.

c. The Associate in Applied Science (A.A.S.) degree. Awarded to those who successfully complete programs which emphasize preparation in the applied arts and sciences for careers, typically at the technical or semi-professional level. Not less than 15 semester credit hours or 23 quarter hours in general education and not less than 30 semester credit hours or 45 quarter hours in the area of specialized preparation are required.

7. Baccalaureate degree. Each program of instruction leading to a baccalaureate degree shall include a general education component at the collegiate level that is a substantial component of each undergraduate degree, ensures breadth of knowledge, and is based on a coherent rationale. A minimum of 30 semester hours or the equivalent is required for a general course of study. The credit hours are to be drawn from, and include at least one course in each of the following areas: humanities/fine arts, social/behavioral sciences, and natural science/mathematics. The general education course work shall not focus on narrow skills, techniques, or procedures relative to a particular occupation or career. Institutions must present a written justification and rationale for course equivalency. Additionally, baccalaureate degree programs must include clearly defined requirements for majors in academic disciplines. Baccalaureate degree programs normally consist of courses carrying a minimum of 120 semester credit hours or 180 quarter hours or the equivalent in other measurement used by the institution. Normally full-time attendance for four academic years or the equivalent in part-time attendance, independent study, work study, or other similar programs are required, but institutions may award the baccalaureate degree to students who have completed the credit requirements at an accelerated pace or can otherwise demonstrate that they have met the measurable objectives of the program.

8. Graduate degree. An institution's graduate program is progressively more advanced in academic content than undergraduate programs. The institution shall ensure that its graduate instruction and resources foster independent learning, enabling the graduate to contribute to a profession or field of study. The majority of credits toward a graduate or a postbaccalaureate professional degree are earned through the institution awarding the degree. In the case of graduate and postbaccalaureate professional degree programs offered through joint, cooperative, or consortia arrangements, the student earns a majority of credits from the participating institutions. A graduate or post-baccalaureate degree normally represents the completion of a program beyond the baccalaureate level of one or more academic years of full-time course work or the equivalent in part-time attendance, independent study, work-study, or other similar programs. An institution may award a graduate degree to students who have completed the requirements of a graduate program at an accelerated pace or can otherwise demonstrate that they have met the measurable objectives of the program.

The following graduate degrees may be awarded:

a. The master's degree. Awarded to those who successfully complete a program beyond the baccalaureate level in the arts and sciences, or professional fields normally requiring full-time study for not less than one nor more than two academic years. Master's degrees usually require a minimum of 30 semester credit hours.

b. The intermediate degree (designated variously, e.g., specialist in professional education, engineer in engineering, and candidate or licentiate in liberal arts). Awarded to those who successfully complete programs at least one academic year beyond the master's level but who do not reach the doctoral level. Normally, such programs qualify persons as highly knowledgeable and skilled in given fields rather than competent in carrying out independent research and scholarly work.

c. The doctoral degree. Awarded to those who successfully complete programs requiring three or more academic years of full-time study beyond the baccalaureate level and demonstrate a capacity to do independent work. Such demonstration may take the form of completed research (doctor of philosophy), musical composition or performance (doctor of musical arts), clinical competence (doctor of medicine), or the knowledge and capacity to analyze legal problems (juris doctor). The latter two degree programs, along with dentistry, pharmacy, and veterinary medicine, constitute first professional degree programs.

9. Residence. The award of an associate or baccalaureate degree normally entails at least 25 percent of the work being done through the institution awarding the degree. The method and procedures used by the institution in evaluating and granting academic credit for postsecondary degree activity completed elsewhere must be described in writing and disseminated to students and prospective students.

10. Transferability. The institution shall publish its transfer policies and articulation agreements in the institution's catalog. Policies and agreements must define criteria for transferring credit. The institution shall have a defined and published policy for evaluating, awarding and accepting credit for academic instruction, regardless of its mode of delivery.

D. Standard 4 [Facilities and Library]. The institution must have adequate space, equipment, instructional materials, and personnel available to it to provide education of good quality. [G.S. 116-15(f)(4)]

1. Facilities. The institution shall operate and maintain physical facilities, either on or off campus, that are adequate to serve the needs of the institution's educational programs, support services, and mission-related activities. Physical facilities include buildings, classrooms, computers and access to the internet, laboratories, equipment, furniture, grounds, instructional materials, and machinery. Facility sites must be free of traffic hazards and distracting noises.

   a. Compliance with safety and health laws. The facilities shall comply with all pertinent ordinances and laws relative to the safety and health of persons on the campus. See also Standard 9.

   b. Laboratories and equipment. Laboratories and equipment must be adequate for supporting the particular program of instruction and enhancing student-learning outcomes.

   c. Supportive services. Supportive services, faculty and staff offices, and other facilities must be adequate in size and number to accommodate faculty, staff, and students.

   d. Housing. Student housing owned, leased, maintained, or approved by the institution must be appropriate, safe, and adequate.

   e. Nonownership. If a physical facility is not owned by the institution, evidence through a lease or other means must be submitted that facilities are available for a sufficient duration to demonstrate the stability of the institution and that the institution is capable of completing any program it offers.

2. Library and electronic resources. An adequate library or access to a library and information resources is essential to supporting instruction and enhancing student-learning outcomes.

   a. Objectives and policies. The library must have a mission statement and goals to serve as a framework for its activities. The mission and goals are to be compatible and consistent with the institution's mission. The institution shall be able to demonstrate that the library and information resources (or access to library and information resources) fulfill the institution's mission and provide adequate
support to academic programs. The library shall engage in a formal planning process that involves a broad spectrum of the college community and includes the faculty and students. Planning is an iterative process that includes evaluation, updating, and refinement. Evaluation of library resources shall involve all categories of library users. The institution must ensure that users have access to regular and timely instruction in the use of the library and other learning/resources. The institution shall have a librarian. The lines of authority, status, tenure, and major duties of the librarian must be clearly stated as well as the nature of faculty involvement in the determination of library policy and in acquisition procedures. Contractual agreements with other libraries must define the following:

1. The extent to which the holdings of the other libraries support adequately the institution’s educational program and enrollment at the relevant degree level;
2. The degree to which students of the institution can use these libraries and the nature of the use, including procedures for student and faculty registration for use;
3. The arrangements with the other libraries for acquisition of materials needed for the institution’s educational program which the outside library may not normally acquire;
4. The degree of authority of the institution’s officials in making library policy to support the needs of the institution;
5. Financial arrangements or fees for the use of other libraries; and
6. Responsibilities of the college for replacement of materials lost by students of the college. The details of the contractual arrangements with other libraries must meet the criteria outlined in these standards.

b. Staff. The library staff must be of a size and quality adequate to meet the objectives of the library and the academic programs it supports. The library must ordinarily be under the direction and supervision of a professionally trained librarian, who has a graduate library degree from an accredited library science that is accredited by the American Library Association. The librarian must perform duties of a professional nature, involving organization of the entire library program, supervision or performance of acquisitions, cataloging, reference, circulation and use functions, and coordination of the library with the academic program of the college. The last involves working with faculty members in the selection and use of materials, and organizing and/or conducting a library orientation and instruction program for students and faculty. Staff of the library must be sufficient to perform all the clerical functions of the library and must have skills and training appropriate for their duties.

c. Administration. The library must be administered in a manner that permits and encourages the most effective use of available library resources. The librarian shall report either to the chief executive officer or the chief academic officer. There must be a standing advisory committee of faculty members representative of the academic programs of the college to advise the librarian at least annually on acquisitions and ways of improving library services as well as to serve as the main channel of formal communications between the library and the university community. The library committee must also evaluate annually the adequacy of the collection and services. The library must keep up-to-date and adequate records of circulation, holdings, inventory data, materials on order, current periodicals received, expenditures, and budgets. The library must encourage the additional use of other library resources that may be available and seek out and help develop cooperative agreements with other libraries. Written contractual agreements must be negotiated with the libraries and these agreements must include the items specified under paragraph IV.D.2.a., above. The institution must assign responsibility for providing library/learning resources and services and for ensuring continued access to them at each site.

d. Distance education. The institution is responsible for funding and appropriately meeting the information needs of students enrolled in its distance learning courses and programs by supporting teaching, learning, and research. This support must provide ready and equitable library service and learning resources to all its faculty and students, regardless of location. The institution must own the library/learning resources, provide access to electronic information available through existing technologies, and/or provide them through other libraries. If programs are to depend primarily on other libraries, the collections in those libraries must be adequate to support academic programs and courses at levels relevant to the degree objective.

e. The library collection. The holdings of the library must be appropriate for the purpose, course offerings, degree programs, and enrollment of the institution. College libraries must assure quality and appropriateness of the collection by the use of standard lists of books and periodicals for selection. The number of volumes in the collection, or access to resources, must be appropriate for the academic programs and the enrollment. Procedures must be developed to involve the faculty in selecting materials for the collection. Selection tools such as Choice, Current Reviews for Academic Libraries, Book Publishing Record, Library Journal, and professional library journals must be available for selection of current books and library materials. There must be a continuing evaluation of the quality of the collection by checking holdings against bibliographies, and basic lists.

f. Organization of collection. Materials must be classified and organized by nationally approved conventions and arranged on the shelves for efficient retrieval. A catalog or catalogs of holdings by author, title, and subject must be available for public use. In addition, requisite subordinate files such as serial checking records and shelf lists must be available.

g. Budget and finance. An annual library-operating budget, which authorizes sufficient financial support, is required to provide, maintain, and insure adequate and suitable library holdings, facilities, and services.

h. Service and use. The library must establish and maintain a range and quality of services that will promote the academic program of the college. In addition to providing basic reference and circulation services, orientation and instruction in the use of libraries must be provided for students and faculty. It is ordinarily desirable to have a written library guide and/or handbook for students and faculty members. When appropriate, teaching faculty should require the use of library materials in instructional programs, such as supplementary readings and research papers. If the institution maintains a physical library, the library must be open to student access for a reasonable number of hours when classes are not scheduled, both during the normal study week and during weekends and vacation periods. Library materials must be circulated to students, faculty members, and other qualified users under equitable policies. The quality of the collections available locally to patrons should ordinarily be enhanced by an interlibrary loan service in accordance with the American Library Association (ALA) Interlibrary Loan Code and local, regional, or state interlibrary cooperative agreements.

i. Library facilities. If the institution maintains a physical library, then the space assigned for library usage must be conducive to study. A central and single location is desirable. The library must have good lighting, adequate ventilation, and proper temperature and humidity control. The size or square footage shall be appropriate for the student body, number of volumes in the collection, and the type of instructional program emphasized by the college. Seating must be provided for at least 10 percent of the largest number of students on campus at any time. Space allocated for book and periodical shelving must be sufficient for normal growth, as well as for the current collection. In addition, adequate space must be provided for staff, library services, and other instructional materials, which may require special facilities for safekeeping.

j. Equipment. If the institution maintains a physical library, furniture, computers, copy machines, audiovisual, digital and general equipment must be operational and in an adequate state of repair.

E. Standard 5 (Faculty and Other Personnel Qualifications). The education, experience, and other qualifications of directors, administrators, supervisors, and instructors must be such as may reasonably ensure that the students will receive, or will be reliably certified to have received, education of good quality consistent with the stated objectives of any course or program of study, equivalent experience, or achievement test offered by the institution. (G.S. 116-159(5))

1. Faculty. The institution must employ competent faculty members to accomplish the mission and goals of the institution and must give them
the central role in curriculum development and delivery. When determining acceptable qualifications of its faculty, an institution must give primary consideration to the highest earned degree in the discipline in accord with the guidelines listed below. The institution shall also consider a faculty’s teaching experience in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes. The institution has responsibility for justifying and documenting the qualifications of its entire faculty, regardless of method of delivery or location.

Electronically delivered courses must provide for meaningful and continuing interaction between faculty and among students.

2. Educational credentials.
   a. Faculty teaching in programs leading to an associate’s degree and non-degree programs offering credit towards a degree. Faculty teaching in an associate degree program or a non-degree program offering credit towards a degree must hold at least a master’s degree or the equivalent in the field of specialization in which they are teaching. Exceptions must be justified by special competence in their field of knowledge. A minimum of 18 graduate semester hours in the master’s degree must be in the discipline in which they are teaching, from a regionally accredited institution of higher education. Teaching disciplines are those considered appropriate for faculty teaching a subject area by discipline experts.
   b. Faculty teaching in a bachelor’s degree program. Faculty teaching in an institution offering a baccalaureate degree must hold at least a master’s degree or the equivalent in the field of specialization in which they are teaching. A majority of the faculty must have satisfactorily completed work beyond the master’s degree in an accredited graduate school, and at least 25 percent of the course hours in each major must be taught by faculty who hold the doctorate or other terminal degree in the field of specialization from a regionally accredited institution of higher education.
   c. Faculty teaching in programs granting graduate degrees. Faculty teaching in programs granting graduate degrees must hold the doctorate or other terminal degree in the teaching discipline or related field.
   d. Faculty teaching in first professional degree programs. Faculty teaching in first professional degree programs must meet recognized standards in their fields.
   e. Graduate teaching assistants. For baccalaureate instruction, graduate teaching assistants (applicable to graduate degree or professional degree granting institutions) must hold a masters in the teaching field or 18 graduate semester hours in the teaching discipline. Graduate assistants must be directly supervised by faculty member experienced in the teaching discipline with regular in-service training and planned and periodic evaluations.
   f. Size. The faculty must be sufficient in number, and the proportion of part-time members and the student-teacher ratio must be such as to assure the effectiveness of the educational program, including counseling and advising of students. The faculty must be representative of the principal areas of instruction offered by the institution and have a composition relevant to the number and nature of the courses taught. Further, the faculty should consist of full-time, paid appointments sufficient to assure continuity and stability of the educational programs and to provide adequate educational association between students and faculty. In no instance may the faculty number fewer than four full-time, paid members.
   g. Definition of responsibilities. Faculty responsibilities must be defined in writing in terms of hours taught, course development and research required, number of students, level of instruction, research expected, administrative duties, student advising, committee assignments, counseling assignments, and other expectations.
   h. Faculty development. The institution must provide evidence of ongoing professional development of faculty. Faculty individually must engage in continuing professional study or research appropriate to their responsibilities. Provisions must be made for attendance at professional meetings and periodic study leaves to encourage continued competence, effectiveness, productivity. Faculty teaching via an electronic system must be provided appropriate training, support services, equipment, software and communications for interaction with students, faculty, and other institutional personnel.
   i. Appointment. Faculty must be appointed by official action of the governing board of the institution upon recommendation by its chief executive officer. Notice of appointment must be in writing and must contain the conditions of employment and personnel policies with regard to academic freedom and economic security.
   j. Evaluation of faculty. The institution must evaluate annually the effectiveness of each faculty member in accord with published criteria, regardless of contractual or tenure status. These data must be available and used for faculty development and appointment decisions.
   k. Faculty development. The institution must publish policies on academic freedom in a manner accessible to students, prospective students, and the public.
   l. Faculty involvement in decision-making. The institution must publish policies in a manner accessible to students, prospective students, and the public, clearly defining the role of the faculty in decision making in the hiring of other faculty, curriculum development, evaluation of faculty, and the hiring and evaluation of administrative staff.
   m. Stability. The faculty conducting classes in upper-division courses must be stable. The institution must provide a roster evidencing such stability in its initial application and in each annual report. The institution must induce such stability with adequate salaries, fringe benefits, desirable working conditions, and tenure status as appropriate.

3. Administration. The chief executive and administrative officers should ordinarily hold at least a master’s degree. The chief academic officer and academic officers (e.g., deans, department chairpersons) should ordinarily also hold a minimum of a master’s degree. Exceptions should be justified by special competence or experience in their areas of responsibility and must be documented in personnel files. For baccalaureate or higher-degree granting institutions, a terminal degree will ordinarily be required for academic officers.

F. Standard 6 (Catalog). The institution must provide students and other interested persons with a catalog or brochure containing information describing the substance, objectives, and duration of the study, equivalent experience, and achievement testing offered; a schedule of related tuition, fees, and all other necessary charges and expenses; cancellation and refund policies; and such other material facts concerning the institution and the program or course of study, equivalent experience, and achievement testing as are reasonably likely to affect the decision of the student to enroll therein, together with any other disclosures that may be specified by the Board. Such information is provided to prospective students prior to enrollment. [G.S. 116-15(f)(6)] The catalog shall also include a description of the faculty and their qualifications, a description of students’ rights, admission policies, transferability, articulation agreements, student code of conduct, and other relevant institutional policies. The catalog must clearly indicate the specific beginning and ending dates defining the time period covered by the catalog. The institution shall provide a statement in its catalog of the transferability of its courses and degrees to other academic institutions that are regionally accredited. The institution must update its catalog at least biennially. That catalog may be in electronic or hard copy form. The catalog, or if the institution shall provide a statement in its catalog of the transferability of its courses and degrees to other academic institutions that are regionally accredited. The institution shall provide a statement in its catalog of the transferability of its courses and degrees to other academic institutions that are regionally accredited. The institution shall update its catalog at least biennially. That catalog may be in electronic or hard copy form. The catalog, or if the catalog is electronic, notiﬁcation of where it may be accessed online, must be provided to students and prospective students prior to enrollment. *Prior to enrollment* as used herein shall mean at least ﬁve days prior to the institution receiving any money from the student or prospective student that is not fully refundable. The catalog must contain statements with respect to the following: the mission of the institution, ownership and control of the institution, name, title, and ofﬁce location of ofﬁcer responsible for receiving students who wish to ﬁle complaints and to seek redress, contact information for North Carolina Postsecondary Education Complaints, location and accessibility of Guaranty Bond (for prepaid tuition held) for review by anyone wishing to see it, location, telephone number, electronic mail and web address of the principal ofﬁce of the corporation, directly owning the institution and of the institution offering the degrees, availability of health care services and degree of responsibility of the institution for providing such services, the institution’s cancellation and refund policy, and a full description of job placement.

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assistance provided to students and former students. In the case of courses delivered electronically, catalogs or brochures must provide students with clear and complete information on the nature of faculty/student interaction, prerequisite technology competencies and skills, technical equipment requirements, and availability of academic support services.

G. Standard 7 (Program Completion Credentials). Upon satisfactory completion of study, equivalent experience, or achievement test, the student must be given appropriate educational credentials by the institution, indicating that the relevant study, equivalent experience, or achievement testing has been satisfactorily completed by the student. [S. 116-15(f)(7)] The institution must employ sound and acceptable practices for determining the amount and level of credit awarded for courses, regardless of format or mode of delivery. The institution must have a defined and published policy for evaluating, awarding and accepting credit for transfer, experiential learning, advanced placement, and equivalent experiences that is consistent with its mission and ensures that course work and learning outcomes are at the appropriate postsecondary level. The institution must inform students of all requirements for academic credit, and upon request, provide a transcript showing course work and cumulative records of academic achievement.

H. Standard 8 (Student Records). The institution must maintain records that are adequate to reflect the application of relevant performance or grading standards to each enrolled student. [G.S. 116-15(f)(8)] The institution must protect the security, confidentiality, and integrity of its student records. The institution shall maintain student records for each student, whether or not the student completes the educational program.
1. Content of records. Records must show attendance, progress, and grades of each enrolled student.
2. Purpose of records. Adequate student records must be maintained by the institution to substantiate student attendance, academic progress, grades earned, and to provide evidence that satisfactory standards are enforced relative to attendance, progress, and performance.
3. Disposition of records. The institution must ensure that student records are provided to the North Carolina State Archives in the event that the institution discontinues operations. In the case of an institution having more than one campus, the institution shall transfer a copy of closing campus's student records, including without limitation each student's transcript, regardless of whether the entire institution is closing. Records must be transmitted in a form acceptable to the North Carolina State Archives.

I. Standard 8B (Student Services). The institution must provide adequate services for students in addition to formal instructional experiences of the classroom and laboratory. These services normally include admissions, orientation, counseling and guidance, academic advising, financial assistance, health care, job placement, student records, and extracurricular activities. Student services must support the institution's mission, and must be evaluated annually. Sufficient qualified personnel must be employed to ensure the quality and effectiveness of all services for students.

Consistent with its mission, the institution must provide student support programs, services, and activities that promote student learning and enhance the development of its students.

1. Admissions. The institution must have a clearly stated admissions policy. High school graduation or an equivalent credential should ordinarily be required to matriculate. A bachelor's degree or demonstrable equivalent must be required for admission into graduate or professional degree programs. Admission is determined by the readiness and ability of a student to gain knowledge from the instructional offerings.
2. Counseling and guidance. Appropriate counseling and guidance services must be available to students. An advisor must be assigned to assist each student in program planning, course selection, and other academic matters. Special care must be exercised to maintain and protect confidentiality of counseling records.
3. Health care services. Suitable health care services must be readily available in or near the institution. The character of these services and degree of institutional responsibility must be stated in the catalog and other appropriate literature.
4. Outcome data. Institutions shall provide graduation and retention data to students, prospective students, and the University of North Carolina System Office (UNC System Office) upon request, along with the methodology used to calculate that graduation and retention data. If the institution calculates job placement data for any purpose, that data must be provided to students, prospective students, and the UNC System Office upon request. Institutions must maintain records sufficient to verify graduation, retention, and job placement data which is reported to students, prospective students, and the UNC System Office on a student-by-student basis.

J. Standard 9 (Compliance with Ordinances and Laws). The institution must be maintained and operated in compliance with all pertinent ordinances and laws, including rules and regulations adopted pursuant thereto, relative to the safety and health of all persons upon the premises of the institution. [G.S. 116-15(f)(9)]

K. Standard 10 (Finance and Organization). The institution must be financially sound and capable of fulfilling its commitments to students. [G.S. 116-15(f)(10)]
1. Finances. The institution must possess and maintain adequate financial resources to sustain its mission and purpose.
   a. Stability. Financial resources should be characterized by stability that indicates the institution is capable of maintaining operational continuity for an extended period of time. The minimum "extended period of time" is one and one-half times the duration of the longest postsecondary degree program offered.
   b. Adequacy. Average annual expenditures per student for educational programs; average annual income per student from educational activities; the ratio of net profit, adjusted, to debt service costs (i.e., the formula components are annual net profit plus interest on debt plus expenses not requiring an outlay of funds, such as depreciation, divided by debt service costs, consisting primarily of payments on principal and interest); and all financial policies, procedures, and practices must be in keeping with industry standards and reasonably likely to produce an education of good quality for students.
   c. Plan for financial development. A coordinated, comprehensive, flexible financial plan (budget) for long-range management of the institution must be maintained.
   d. Financial records and audit report. The institution's recent financial history must demonstrate financial stability. The institution shall present documents consistent with generally accepted accounting standards reflecting its financial condition during the application process and year, thereafter, in the reporting process. The institution must maintain adequate and sufficient financial records, and its financial statements must be audited annually by an independent certified public accountant (CPA) according to generally accepted accounting standards. The independent certified public accountant must render an unqualified opinion as to the fairness of presentation of financial statements and as to their conformity with generally accepted accounting principles.
   e. Insurance. Adequate casualty and liability insurance must be maintained to protect the institution's financial interests.
   f. Bonding. A tuition guaranty bond, or equivalent, of not less than $10,000 and at least equal to or higher than the maximum amount of prepaid tuition held (i.e., unearned tuition held) existing at any time during the most recent fiscal year must be maintained. The bond must secure the institution's compliance with G.S. 116-15 and Section 400.1 of the UNC Policy Manual. The bond must continue in effect until cancelled by the institution, and it must recite that such cancellation may not be effective prior to 30 days' notice of cancellation to the Board. The institution must provide a statement by an independent certified public accountant specifying the existing principal amount of tuition guaranty bond and that the principal amount is not less than $10,000 and is at least equal to or higher than the maximum amount of prepaid tuition held (i.e., unearned tuition held) existing at any time during the most recent fiscal year. Such statement should be expressed as follows: "The guaranty tuition bond in the amount of __________ (amount) maintained by __________ (name) College as of the date of this statement is not less than $10,000 and is at least equal to or higher than the maximum amount of prepaid tuition held (i.e., unearned tuition held) existing at any time during the fiscal year ended __________.
   g. The UNC System Office shall promulgate regulations relating to the proper calculation of the bond.
2. Organization. The institution must be organized to provide efficient and effective administrative, program, and resource support for the...
attainment of its mission and purpose. The institution should demonstrate that there is an ongoing planning and evaluation process that guides its decision-making and actions. The institution shall demonstrate that it engages in continuous planning, evaluation, and improvement. The institution must be able to demonstrate that it accomplishes its mission by presenting student data, faculty data, employment data, and other evaluative data consistent with an appropriate standard.

a. Mission statement. Institutions must have a mission statement. This statement, comprising the philosophy and objectives of the institution, should include definitions of the educational climate to be maintained, the character of education that students are expected to possess upon graduation, the occupational and other outcomes expected from available programs, and characteristics of attained individual growth. The statement should be operationally effective and should be periodically reviewed for possible improvement and restatement. An interval of five years is suggested as a maximum period between reviews. The statement should describe both the concept and practice of the institution. The institution must be prepared to present evidence that the various elements of its operation (e.g., faculty work, educational program, student life, finances, physical facilities, organization, and administration) are designed to support the stated mission. The mission statement must be published in a manner accessible to students, prospective students, and the public.

b. Governance. The institution should operate under control of a governing board. The board should be responsible for formulation of institutional policy, including policies concerning related and affiliated corporate entities and all auxiliary service(s); selection and evaluation of a chief executive officer, appointment of subordinate staff and professional personnel; fiscal stability of the institution, the institutional mission, development and maintenance of bylaws consistent with the institution’s mission and specifying the number, manner of appointment, and terms of officers and members of the board; frequency of minimum meetings per annum; format of official minutes of board meetings; and all matters related to duties, responsibilities, and procedures of the governing board and its members. If the governing board delegates any of its policymaking or other powers, duties, or responsibilities to other parties, such delegations must be approved by a majority of the membership of the board, be in writing, be recorded in the minutes, and not compromise the institution’s present or future financial stability and/or capability of fulfilling commitments to students.

c. Management. The institution shall have a governing board with specific policy-making authority over the institution. There must be a clear and appropriate distinction, in writing and practice, between the policy-making functions of the governing board and the responsibility of the administration and faculty to administer and implement policy. The institution shall have a chief executive officer whose primary responsibility is to the institution and who is not the presiding officer of the board. The governing board shall have a policy and a process to monitor conflicts of interest. Business and financial management must be centralized and administered in a straightforward and bonded manner, with supervision of the chief administrative officer and board of directors. The institution must have and maintain a fair and equitable cancellation and refund policy. Such policy must be published in a manner accessible to students, prospective students, and the public.

L. Standard 11 (Business Practices). The institution, through itself or those with whom it may contract, must not engage in promotion, sales, collection, credit, or other practices of any type which are false, deceptive, misleading, or unfair. [G.S. 116-15(f)(11)]

M. Standard 12 (Professional Conduct). The chief executive officer, trustees, directors, owners, administrators, supervisors, staff, instructors, and employees of the institution must not have a record of unprofessional conduct or incompetence that would reasonably call into question the overall quality of the institution. [G.S. 116-15(f)(12)]

N. Standard 13 (Student Housing). Any student housing owned and maintained or approved by the institution, if any, must be appropriate, safe, and adequate. [G.S. 116-15(f)(13)] All federal, state, and local laws and regulations must be complied with respect to the safety and health of occupants and visitors to student housing.

O. Standard 14 (Cancellation and Refund Policy). The institution must have a fair and equitable cancellation and refund policy. [G.S. 116-15(f)(14)] The institution must have and maintain a fair and equitable cancellation and refund policy which applies equally to all students. Such policy must be published in a manner accessible to students, prospective students, and the public.

P. Standard 15 (Institutional Agent). No person or agency with whom the institution contracts may have a record of unprofessional conduct, or incompetence that would reasonably call into question the overall quality of the institution. [G.S. 116-15(f)(15)] Appropriate information must be readily available for review concerning any person or agency with whom the institution contracts for academic or support services.

V. License and Interim Permit. To be issued a license, the institution shall satisfy the Board that standards enumerated in section L, above, are met. An institution which meets standards for licensure except for having conducted postsecondary degree activity for at least two years immediately prior to submitting an application for licensure may be granted an interim permit to conduct postsecondary degree activity if the institution can demonstrate a quality of stability, experience, reputation, and performance which two years of operation would normally denote. Before the end of the period of the interim permit, the institution will be re-evaluated to determine if it qualifies for a license. Procedural regulations regarding licenses and interim permits, including without limitation rules regarding reviewing, revoking, suspending, and modifying licenses and interim permits, shall be promulgated by the UNC System Office. These procedural regulations may include regulations allowing the president or the president’s designee to grant licenses to be later ratified by the Board. Unless issued a license or interim permit, or declared exempt from licensure, postsecondary degree activity may not be undertaken in North Carolina by nonprofit institutions.

VI. Enforcement. The UNC System Office shall call to the attention of the Attorney General, for such action as the Attorney General may deem appropriate, any institution failing to comply with these requirements for licensure.

VII. Licensure Fees. All institutions applying for or receiving licensure to conduct educational activities in North Carolina must pay annual fees as set by the UNC System Office.

VIII. Other Matters

A. Effective Date. The requirements of this policy shall be effective on the date of adoption of this policy by the Board of Governors.

B. Relation to Federal and State Laws. The foregoing policy as adopted by the Board of Governors is meant to supplement, and does not purport to supplant or modify, those statutory enactments which may govern or relate to the subject matter of this policy.

C. Regulations and Guidelines. This policy shall be implemented and applied in accordance with such regulations and guidelines as may be adopted from time to time by the president.

* Supersedes Section 400.4.1, originally entitled, “Policy on Licensing Nonpublic Institutions to Conduct Postsecondary Degree Activity in North Carolina,” adopted February 8, 1974, and last amended May 27, 2016.

400.4.1: Adopted 02/08/74, Amended 02/13/76, Amended 09/13/85, Amended 01/09/98, Amended 11/11/04, Amended 05/27/16, Amended 03/23/18*
of-State and Nonpublic Institutions

I. Purpose. Pursuant to N.C. Gen. Stat. § 116-15(g) (hereinafter G.S.), and Section 400.4.3[R], VB., subsections 3., and 4., of the UNC Policy Manual, the University of North Carolina System Office (UNC System Office) staff will review the license of an institution when the institution is legally reconstituted and when a preponderance of all of the assets of the institution changes pursuant to a single transaction or a recognizable sequence of transactions or agreements.

II. Definitions

A. "Change in ownership," as used herein, means a change in the ownership of a preponderance of an institution’s or corporate parent’s assets pursuant to a single transaction or a recognizable sequence of transactions or agreements. Change of ownership does not include:

1. A transfer of the entire portion of a natural person's ownership interest to that person's parent, stepparent, sibling, stepchild, spouse, child or stepchild, grandchild or step-grandchild; spouse’s parent or stepparent, spouse’s sibling or stepchild, spouse’s child or stepchild, spouse’s grandchild or stepgrandchild; child’s spouse, and sibling’s spouse; or
2. A transfer of the entire portion of a natural person’s ownership interest, upon the retirement or death of that person, to a natural person with a pre-existing ownership interest in the school who has been involved in management of the school for at least two years preceding the transfer, and who has established and retained the pre-existing ownership interest for at least two years prior to the transfer.

B. "Legal reconstitution" means a change in the corporate form of the institution or its corporate parent, including a change from a for-profit to a nonprofit corporation or from a nonprofit to a for-profit corporation.

C. "Preponderance of the Assets" means:

1. Greater than 50 percent of the ownership interest of an institution or its corporate parent; or
2. Assets worth greater than 50 percent of the institution’s or corporate parent’s fair market value.

III. UNC System Office Staff Response. Upon notification from the institution, UNC System Office staff will timely respond with initial inquiries to determine the size and scope of the required review. Staff will consider, among other factors, the proposed purchaser’s projected changes to the institution in determining the review’s size and scope. Upon completion of the review of licensure, staff will notify the parties to the transaction.

IV. Relationship of Change in Ownership reviews to Applications for New Licensure. A change in ownership which results in an already authorized institution becoming a branch campus of an unauthorized institution ordinarily requires the unauthorized institution to become authorized to conduct postsecondary degree granting activity in North Carolina. As long as the new branch campus remains otherwise authorized, it may continue to conduct postsecondary degree granting activity pending adjudication of the unauthorized parent institution’s application to become authorized. UNC System Office staff determines whether the change in ownership will cause an already authorized institution will become a branch campus of an unauthorized institution. In making that determination, staff may consider whether the authorized institution will be considered a branch campus for accreditation or for Federal Student Aid purposes.

V. Other Matters

A. Effective Date. The requirements of this regulation shall be effective on the date of adoption of this regulation by the president.

B. Relation to Federal and State Laws and Policies. The foregoing regulation is meant to supplement, and does not purport to supplant or modify, those statutory enactments, regulations, and policies which may govern or relate to the subject matter of this regulation.

400.4.1.2[R]: Adopted 04/05/18

400.4.1.3[R] Regulation on Procedures for Licensure

I. Purpose. The purpose of this regulation is to set forth the procedures the University of North Carolina System Office (UNC System Office) will implement regarding the application for licensure, review of licensure, and modification and revocation of licensure of institutions conducting postsecondary degree activity in North Carolina pursuant to N.C. Gen. Stat. § 116-15 (hereinafter G.S.).

II. Definitions. This regulation incorporates those definitions found in G.S. 116-15 and in Section 400.4.1 of the UNC Policy Manual.

III. General Provisions

A. Except as provided in subsection B., of this section, before a private institution or its agent undertakes postsecondary degree activity in North Carolina, the institution or its agent must be licensed in accordance with this policy or declared exempt from licensure in accordance with G.S. 116-15(c), (d), or (e).

B. An institution may advertise postsecondary degree activity that is not yet licensed if all of the following conditions are met:

1. An application for licensure made in accordance with this regulation for the postsecondary degree activity has been received by the UNC System Office, and the UNC System Office has acknowledged receipt of that application.
2. The advertisement contains a disclaimer stating that the institution has an application for licensure of the postsecondary degree activity pending before the University of North Carolina Board of Governors and that licensure is required prior to the start date of the postsecondary degree activity.
3. Such other conditions as the UNC System Office may for good cause require, including the prohibition of advertising prior to licensure.

C. An institution may not receive funds that are not fully refundable from students or prospective students for enrollment in an unlicensed postsecondary degree activity. If the postsecondary degree activity is not licensed by the projected start date, funds received from students or prospective students for enrollment in the postsecondary degree activity must be refunded within ten business days of the projected start date. If the institution withdraws its application for licensure, funds received from students or prospective students for enrollment in the postsecondary degree activity must be refunded within ten business days of that withdrawal.

D. Licensure authorizes an institution to conduct postsecondary degree activity only as specified by the Board of Governors.

IV. Interim Permit. An institution wishing to conduct one or more postsecondary degree activities in North Carolina which meet the standards for licensure set out in Section 400.4.1 of the UNC Policy Manual (except for the requirement regarding the length of time the institution has been in operation), may be granted an interim permit to conduct the postsecondary degree activity if the institution can demonstrate a quality of stability, experience, reputation, and performance which two years of operation would normally denote. An interim permit expires two years after it is issued by the Board. Before expiration of the interim permit, the postsecondary degree activity will be re-evaluated to determine if it qualifies for a license. An interim permit may be issued contingent upon those conditions that the Board imposes. Except as set forth in this subsection, the procedures for issuing, modifying, and revoking an interim permit are the same as those set out in Section V., below, of this regulation.

V. Procedures for Licensure. Institutions applying for licensure to conduct a postsecondary degree activity or activities shall follow the following steps:

A. Preliminary Conference. The institution seeking licensure shall contact the UNC System Office and arrange for a preliminary conference to discuss
the standards and procedures for applying for licensure. The preliminary conference shall occur in a time, place, and manner prescribed by the University of North Carolina System.

B. Application for Licensure. Following the preliminary conference, the institution shall submit a formal application that demonstrates the proposed postsecondary degree activity will be in compliance with each standard enumerated in G.S. 116-15(f) and Section 400.4.1. The application must also contain a letter stating the intent of the institution to apply for licensure. This letter must describe the mission of the institution, the proposed postsecondary degree activity submitted for approval, and projected enrollment. The application shall be made in the manner prescribed by the UNC System Office. Fees for applications will be set by the UNC System Office.

C. Site Visit

1. If the application indicates that the proposed postsecondary activity is reasonably likely to meet the standards enumerated in G.S. 116-15(f) and Section 400.4.1 of the UNC Policy Manual, and if appropriate in accordance with this subsection, the UNC System Office may arrange with the institution for a visit by a team of examiners to the campus and, if needed, other sites hosting the proposed postsecondary degree activity. The purpose of the visit is to confirm documentation submitted by the institution evidencing compliance with standards of good quality education and to confirm whether the institution meets the other requirements established by the Board. The team of examiners shall be composed of at least one officer of the UNC System Office, faculty members with the appropriate levels and fields of education, and other persons necessary for a sound examination. The team of examiners shall be appointed by the president of the University of North Carolina, or the president’s designee, and selected based on their expertise in specific fields related to the licensure proposal. One member of the examining committee shall be appointed chair, with responsibility for leading the examination and preparing the team’s report and recommendations.

2. Applications for licensure to conduct postsecondary activity submitted by institutions which have not been previously licensed to conduct postsecondary activity require a site visit. Applications for licensure to conduct postsecondary activity submitted by institutions which have been previously licensed to conduct other postsecondary activity will ordinarily require a site visit when the field of study is a significant departure from previously licensed activity; when the proposed postsecondary activity is a different degree level than was previously licensed; when the proposed postsecondary degree activity relies on labs or other physical facilities which have not been previously reviewed or which will now be used in a substantively different way; and in accordance with 400.1.1[R] of the UNC Policy Manual, governing new sites and campuses in North Carolina. The UNC System Office may for good cause require a site visit for any proposed postsecondary activity. When the UNC System Office does not require a site visit, the proposed postsecondary activity will ordinarily be reviewed by a team of examiners remotely. Costs and honoraria for a site visit and other reviews of proposed postsecondary activity are borne by the institution. Such costs and honoraria will be set by the UNC System Office.

D. Report of Team of Examiners, Staff Report, Institutional Response, and Board Action

1. Following the site visit or other review of the proposed postsecondary activity, the team of examiners shall prepare a report and a statement of recommendations (the team report & the staff report). The team of examiners shall submit the report and statement of recommendations to the president of the University of North Carolina or the president’s designee within thirty days, or as soon as possible after completion of the examination. All recommendations are advisory to the UNC System Office. The statement of recommendations accompanying the team of examiners’ report should contain one of the following as concluding advice:
   a. That the institution be issued a license;
   b. That the institution be issued a license subject to specified conditions; or
   c. That the institution be denied a license.

   Prior to any action by the Board, the institution shall be provided the report and have the opportunity to respond to it in writing (the institutional response).

2. The UNC System Office shall review the team report and any institutional response and submit a report to the president or the president’s designee (the staff report). After reviewing the team report, the institutional response, and the staff report, and after making any revisions to the staff report, the president or designee shall place the application for licensure on the Board’s agenda and inform the institution of the date on which the application will be considered by the Board. The staff report will be included in the Board’s materials for that meeting.

3. At the request of the institution, the team report and the institutional response shall be provided to the Board for consideration prior to the Board taking action on the application. An institution requesting that the team report and the institutional response be provided to the Board shall make such request to the UNC System Office in writing not less than 30 days prior to the date on which the Board will consider the application.

4. The Board’s action is the final administrative action with respect to an application for licensure.

E. Procedure for Modification and Revocation of Licensure

1. The Board may modify or revoke a license or interim permit as provided herein. Modification of a license or interim permit may include imposing conditions on the license or interim permit or imposing an expiration date on a license or interim permit.

2. Modification or revocation of a license or interim permit may be based on a failure on the institution’s part to maintain one or more of the standards enumerated in G.S. 116-15(f) and Section 400.4.1 of the UNC Policy Manual, or on the institution or any of its agents making a material misrepresentation to the Board, UNC System Office, or to students or prospective students.

3. When the president or designee determines that an institution has failed to maintain one or more of the standards or has made a material misrepresentation as described herein, the president or designee shall prepare a report for the Board detailing the basis for the revocation or modification and recommending the action to be taken (the violation report). The violation report will be served on the institution by United States mail to the address last provided by the institution on its annual report. The institution shall have 33 days from the mailing of the violation report to respond in writing, which time may be extended by the president or designee for good cause shown.

4. If the violation report and the institution’s response, if any, shall be provided to the Board for action, if the Board deems action appropriate. Notwithstanding the existence of a violation, the Board may allow an institution to remain licensed if the institution is deemed by the Board to be making substantial and expeditious progress towards remedying its licensure deficiencies.

The Board’s action, if any, is the final administrative action with respect to modifications and revocations of licensure.

VI. Annual Reports and Review of Licensure

A. Licensure of any licensed postsecondary degree activity shall be subject at any time to review by the Board to determine whether the postsecondary degree activity continues to meet standards for licensure. In the discretion of the Board, review of licensure may necessitate use of a team of examiners. Costs and honoraria of teams of examiners conducting reviews is borne by the institution and set by the UNC System Office.

B. Review of licensure of an institution’s postsecondary degree activity conducted in North Carolina shall occur when:

1. Two years have elapsed since the Board first licensed the institution to conduct any postsecondary degree activity (the two-year review).

2. Subsequent to the two-year review, six years have elapsed, and again every six years subsequently, if the institution is accredited by an accreditor recognized by the Council for Higher Education Accreditation if the institution is not so accredited, then review of licensure shall occur every two years.
3. The institution is legally reconstituted.
4. Ownership of a preponderance of all the assets of the institution changes pursuant to a single transaction or agreement or a recognizable sequence of transactions or agreements.
5. The institution proposes to open a new campus or site, except that the UNC System Office may in its discretion elect to review only the postsecondary degree activity which the institution proposes to offer at the new campus or site.

C. Institutions offering licensed postsecondary degree activity shall file annual reports with the UNC System Office in a form and manner prescribed by the UNC System Office. Annual reports shall provide evidence of the institution’s continued compliance with the standards set forth in G.S. 116-15(f) and Policy 400.4.1. Annual fees for postsecondary degree activity shall be set by the UNC System Office.

VII. Notifications from Licensed Institutions. Institutions which are licensed to conduct postsecondary activity shall provide notice to the UNC System Office in the form prescribed by the UNC System Office upon the occurrence of any of the following:

A. If the institution or any of its programs are accredited, any change in status to any such accreditation, including being placed on warning or probation;
B. If the institution or any of its programs are accredited, upon notification that any such accreditation is being reviewed, including regularly scheduled reviews;
C. The filing of any petition or application by the institution to become accredited by an accrediting body;
D. If the institution participates in Federal Student Aid (FSA) funding pursuant to Title IV of the Higher Education Act of 1965, as amended (Title IV), upon:
   1. Notification that FSA is seeking to limit, suspend, terminate, or fine the institution, pursuant to 34 C.F.R. 668 Subpart G;
   2. Notification that FSA is seeking an emergency action against the institution;
   3. Notification that the Department of Education’s Office of the Inspector General is auditing the institution;
   4. Any change in the status or terms of the institution’s Program Participation Agreement (PPA), including the PPA’s expiration or the issuance of a provisional PPA;
   5. The institution applying for recertification of its PPA and the Department of Education’s determination whether the institution will be recertified or not;
   6. If the institution is required to report to the Department of Education the proportion of its revenue which is derived from sources authorized by Title IV, upon a determination made by the institution or by the Department of Education, or any of its offices or components, that the institution has derived more than 90 percent of its revenue from sources authorized by Title IV for any year;
   7. The institution posting a letter of credit or increasing an existing letter of credit, or the Department of Education demanding that the institution does so;
   8. The institution being placed on any heightened cash-monitoring method of payment from FSA; or
   9. A determination made by the Department of Education, or any of its offices or components, that the institution’s financial responsibility composite score is 1.5 or below.
E. The institution or its corporate parent learning that a governmental entity has begun a criminal, civil, or administrative investigation of the institution or any person or entity with an ownership interest in the institution;
F. In any audit conducted on the institution or corporate parent, including without limitation a yearly audit conducted to meet FSA requirements, the opinion expressed by the auditor is adverse, qualified, or disclaimed, or the auditor expresses doubt about the continued existence of the institution or corporate parent as a going concern;
G. The filing of any lawsuit, including a counterclaim or cross claim, against the institution, including any petition for bankruptcy of the institution or corporate parent;
H. Any loss of authorization to operate in another state, or a postsecondary education licensor of another state putting the institution on probation, warning, or a similar status;
I. Any substantive change in a licensed program. If the institution is accredited and the institution’s accreditor has a substantive change policy, the term “substantive change” as used herein shall include all circumstances considered by the institution’s accreditor to be a substantive change. “Substantive change” as used herein shall also include a change in the delivery method of more than one-fourth of the courses constituting a licensed program;
J. The institution undergoes a change in ownership, as described in section 400.4.2[R] of the UNC Policy Manual. Notification of a change in ownership shall be made not less than 30 days prior to the projected closing date of the change in ownership.

VIII. Delegation to the President. If the staff report is complete pursuant to section V.D.2., above, an institution which seeks to begin postsecondary degree activity prior to the next regularly scheduled meeting of the Board may be issued a license by the president or designee. The issuance of such a license is committed to the discretion of the president or designee and should ordinarily only occur upon a showing of hardship to the institution, students, or prospective students. In order for such a license to remain in effect past the next regularly scheduled meeting of the Board, the Board must ratify the issuance of the license at its next regularly scheduled meeting.

IX. End of Licensure
A. A license issued under this regulation continues in effect except as provided in this subsection.
B. A license or interim permit to conduct postsecondary activity ends when:
   A. It is revoked as provided herein;
   B. The license or permitted postsecondary degree activity ceases to have any students enrolled, except that the license or interim permit may be continued in the discretion of the president or the president’s designee for good cause shown;
   C. The institution fails to file a complete annual report in the form and manner prescribed by UNC System Office, or pay its assessed annual fee, by December 31st of a given year, except that the license or interim permit may be continued in the discretion of the president or the president’s designee for good cause shown;
   D. If the institution was issued a license or interim permit subject to specified conditions, or its license was modified pursuant to section V.E., above, to include specified conditions (which conditions may include an expiration date), when the Board determines that the institution has failed to meet those conditions or that expiration date is reached; or
   E. The Board fails to ratify the president’s issuance of a license or interim permit at the next regularly scheduled meeting of the Board occurring after the president issues a license pursuant to section VIII, above, of this regulation.

X. Other Matters
A. Effective Date. The requirements of this regulation shall be effective on the date of adoption of this regulation by the president.
B. Relation to Federal and State Laws and Policies. The foregoing regulation is meant to supplement, and does not purport to supplant or modify, those statutory enactments, regulations, and policies which may govern or relate to the subject matter of this regulation.
I. Purpose. The purpose of this policy is to implement N.C. Gen. Stat. § 116-15(d) (hereinafter G.S.).

II. Delegation. It shall be the responsibility of the president to apply the provisions of G.S. 116-15 and relevant policies and procedures of the Board of Governors, including these policies, to any application for exemption pursuant to G.S. 116-15(d) from licensure to undertake postsecondary degree activity with reference to religious education and in each case to determine the propriety of such exemption, and to assess reasonable fees for evaluating initial applications and conducting subsequent reviews regarding such exemption.

III. Definitions

A. The definitions set forth in G.S. 116-15(a2) are hereby incorporated by reference into these policies.

B. "Program of study" means each academic program offered by an institution and includes without limitation all majors, minors, concentrations, and degrees.

IV. Standards for Exemption. Exemption from licensure with respect to religious education under G.S. 116-15(d) shall rest upon one of the following:

A. That the subject education constitutes postsecondary degree activity based upon a program of study, equivalent experience, or achievement testing the institutionally planned objective of which is the attainment of a degree in theology, divinity, or religious education;

or

B. That the subject education constitutes a program of study, equivalent experience, or achievement testing, other than that identified in paragraph A., above, that is designed by the offering institution primarily for career preparation in a religious vocation.

V. Extent of exemption. An institution shall be conferred exemption from licensure only with respect to each program of study, equivalent experience, or achievement test for which exemption is sought.

VI. Determination of Eligibility for Exemption. The president shall determine whether to confer exemption with respect to religious education as provided in G.S. 116-15 only upon the president's receipt from staff of a recommendation concerning exemption based upon the following:

A. Staff summary of a site visit to the petitioning institution (if appropriate).

B. Documents and information relevant to the qualifying nature of the petitioning institution and the subject curriculum, which shall include:

   1. If the institution is a business entity, the articles of incorporation or articles of organization of the institution, including all current amendments thereto.

   2. The title of each degree program for which exemption is sought.

   3. The educational credential proposed to be given by the institution upon satisfactory completion of each program of study, equivalent experience, or achievement test for which exemption is sought.

   4. The catalog statement and any other institutional statement (such as curriculum outline) for each program of study, equivalent experience, or achievement test for which exemption is sought.

   5. Those other documents that the president may determine are necessary to establish that the institution conforms to the standards for exemption set out in section IV., above.

C. Assurances from the petitioning institution that it has conformed, or will conform, institutional literature and educational credentials to the conditions of licensure exemption pursuant to these policies, which shall include:

   1. Designating any degree program of study or academic credential for which exemption from licensure is to pertain by a title that clearly indicates its religious nature so that the institutional objective of the program for its use in attainment of a degree in theology, divinity, or religious education, or its institutional design primarily for career preparation in a religious vocation is apparent.

   2. Prominently displaying in relevant institutional publications a statement that the relevant degree program of study has been declared by the appropriate state authority exempt from the requirements for licensure, under provisions of G.S. 116-15(d), for exemption from licensure with respect to religious education.

   3. Prominently displaying in relevant institutional publications a statement that Exemption from licensure is not based upon assessment of program quality under established licensing standards.

VII. Duration of Exemption. At least annually, staff shall make inquiry of institutions conferred exemption with respect to religious education to ascertain the continuation of those bases upon which there was conferred exemption from licensure. An exemption shall continue unless suspended or revoked by the president following the president's consideration of a corresponding recommendation from staff. An exemption shall also end when the institution ceases to have students enrolled in the exempt program, except that in such case staff may continue the exemption for a reasonable period for good cause shown.

VIII. Pursuit of Licensure. An institution shall seek licensure to conduct postsecondary activity with respect to any program of study, equivalent experience, or achievement test for which exemption from licensure has been denied for failure of the institution to satisfy these policies but which postsecondary the institution intends to offer.

IX. Violation of Conditions. If the president determines that an institution (1) has failed to seek and obtain licensure or exemption from licensure, as required by these policies; or (2) has failed to fulfill any obligation attendant to exemption from licensure under these policies, the president may suspend or revoke the exemption and shall request that the Attorney General of North Carolina take appropriate action against the offending institution.

X. Other Matters

A. Effective Date. The requirements of this policy shall be effective on the date of adoption of this policy by the Board of Governors.

B. Relation to Federal and State Laws. The foregoing policy as adopted by the Board of Governors is meant to supplement, and does not purport to supplant or modify, those statutory enactments which may govern or relate to the subject matter of this policy.

C. Regulations and Guidelines. This policy shall be implemented and applied in accordance with such regulations and guidelines as may be adopted from time to time by the president.

400.4.2: Adopted 08/11/95, Amended 09/12/97, Amended 03/23/18

400.4.3 Standards for Organized Service and Assistance to the Public Schools

Section 7 of House Bill 2335 adopted by the reconvened session of the General Assembly in 1990 provides that:

The Board of Governors of the University of North Carolina shall adopt standards to create and enhance an organized program of public service and technical assistance to the public schools. This program shall:

1. Provide systematic access for public schools to consultation and advice available from members of the faculties of the constituent institutions;

2. Facilitate and encourage research in the public schools and the application of the results of this research;

3. Link the education faculties of the constituent institutions with public school teachers and administrators through public service requirements for the education faculties; and

4. Create partnerships among all constituent institutions, their schools or departments of education, and the maximum number of public schools that could benefit from these partnerships.
The constituent institutions of the University of North Carolina shall provide service to the public schools in accordance with the mission of the University to address state needs through teaching, service and research. The University's commitment to students requires that teaching be the primary responsibility at all constituent institutions. Although the duties of individual faculty members vary from time to time, all are responsible for performance of service activities at a level which enables the institution to fulfill its teaching and research missions as well as its service mission.

To promote the efforts of the constituent institutions of the University in assisting public schools through appropriate service activities, the Board of Governors calls upon the constituent institutions offering programs for the preparation of school teachers and administrators to establish partnerships with public schools; and, further, the board adopts the following standards:

**Standard 1**

Each constituent institution offering programs for the preparation of teachers and school administrators shall have a committee on public school services. The committee shall be named by the chancellor and it shall include at least two members of the education faculty, at least one member of the arts and sciences faculty, two school superintendents, and such other members as may be appropriate. The committee will advise the dean/chair of education on the fulfillment of service commitments including, but not limited to those described in the standards below.

**Standard 2**

Each school/department of education shall establish an office of school services to coordinate and encourage service to the public schools. The office will maintain an inventory of campus resources that could be of service to the public schools through technical assistance or research initiatives. The office will also disseminate to school districts information on campus resources; receive requests for assistance from school districts; and direct the requests to the appropriate campus resource.

**Standard 3**

Each school/department of education shall plan and implement annually a program for service to the public schools that describes the service to be rendered, identifies the faculty members who will be involved, and the sources of support for the program.

**Standard 4**

The University of North Carolina General Administration shall compile a directory of the offices of school services at the constituent institutions and provide the directory to all public school districts.

**Standard 5**

The chancellor shall report periodically to the University of North Carolina General Administration on the service and technical assistance provided to the public schools.

400.4.3: Adopted 04/12/91

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400.5[R] Regulations on Planning, Establishing, and Reviewing Centers and Institutes in the University of North Carolina

I. Introduction, Purpose, and Definitions

The University of North Carolina (UNC) encourages partnerships with, across, and beyond its constituent institutions that maximize the capacities of the University and the constituent institutions to address complex problems of importance to North Carolina, the nation, and the world. Such partnerships may take the form of centers and institutes. Centers and institutes are particularly effective structures when efforts require cross-disciplinary or cross-unit coordination. Centers and institutes, when formed, should result in strengthened and enriched programs around the core missions of research, service, and instruction; enhanced opportunities for faculty, staff, and students; heightened economic impact in the state; and a reduction in duplication within UNC.

A. Purpose. This regulation has three purposes:

1. Provide a framework upon which campuses should build detailed policies and protocols to guide the planning, establishment, management, and discontinuation of institutional centers and institutes (Section II);
2. Define University System Multi-Campus Centers or Institutes and the role of UNC General Administration (UNC-GA) in the management and oversight of them (Section III); and
3. Establish requirements for management oversight and reporting on centers and institutes (Section IV).

B. Definitions

1. "Center or Institute." For purposes of classification, there is no technical distinction between the terms center and institute. In practice, an institute frequently refers to an entity having a broader scope of activity than a center. For example, an institute may create centers as separate units within its administrative structure. Centers and institutes may require new infrastructures to facilitate administration, fiscal management, and on-going activities. Many centers and institutes report to or involve only a single UNC campus. Some involve more than one UNC campus and require significant, sustained, and necessary multi-campus collaboration in one or more aspects including leadership, governance, mission, core activities, funding, and other resources. A center or institute within UNC may, under appropriate circumstances, include the participation of other institutions, agencies, or organizations, such as other colleges and universities, schools, hospitals, industry, foundations, or governmental bodies. Centers and institutes do not have jurisdiction over academic curricula, although they may offer courses in cooperation with academic units.

2. "General Fund sources" means financial resources originating from the State's General Fund, including state appropriations and tuition receipts.

3. "Non-General Fund sources" means financial resources originating from sources other than the State's General Fund, including fee receipts, endowment income, institutional trust funds, and outside grants.

4. "In-Kind sources" means support that one or more constituent institutions provide to a center or institute in the form of space, services (including faculty course buyout), or use of equipment or other materials, and for which it does not receive cash payment.

5. "Political activity" means, as described in Section 300.1 of the UNC Policy Manual, actions directed toward the success or failure of a candidate for public office, political party, or partisan political group including, but not limited to, campaigning, political management, and soliciting financial contributions for political purposes.
The following regulations apply to each constituent institution that (1) serves as the administrative campus for a multi-campus center or institute, or (2) administers a center or institute that reports to only one UNC campus.

A. Authority. Campuses will adopt the following authoritative roles in their own policies and procedures.

1. Administrative campus. Each center or institute must designate an administrative campus. For centers and institutes situated on a single campus, this designation is straightforward. Full authority and responsibility for the oversight of institutional centers and institutes rests at the campus level, including establishment, management, and discontinuation. For centers and institutes involving more than one UNC constituent institution, agreement on an administrative campus must be reached. Administrative campuses are responsible for the general and fiscal oversight and management of their institutional centers and institutes, in accordance with this regulation and campus level policies and procedures.

2. Board of trustees. The board of trustees of each administrative campus has the authority to approve campus level policies on centers and institutes and to authorize establishment and discontinuation of institutional centers and institutes consistent with these regulations and the directions of the president or the Board of Governors. The board of trustees may delegate to the chancellor the authority to approve the establishment or discontinuation of institutional centers and institutes.

3. Chancellor. The chancellor of each administrative campus, as the executive and administrative head of the constituent institution, is responsible for the oversight and management of each center or institute situated at the campus. The chancellor is responsible for carrying out the requirements of the applicable policies of the Board of Governors and board of trustees with respect to centers and institutes, and for ensuring that all requirements of this regulation are implemented and followed.

4. Directors. Subject to the approval of the chancellor of the administrative campus, each center or institute must have a director, who shall report to a senior academic officer designated by the chancellor. Center and institute directors are responsible for the day-to-day programmatic, fiscal, and personnel decisions associated with the center and institute mission and core personnel.

5. Center or institute boards or committees. A chancellor of a constituent institution may determine that an advisory or policy board is needed for a particular center or institute. Boards or committees are particularly useful when the center or institute must coordinate efforts across departments, units, or institutions. Such boards do not have the authority to make binding rules to directors or other staff. While boards may make recommendations regarding the use of center and institute funds, such entities do not have the authority to access, use, or otherwise control funds associated with the centers and institutes.

6. Authority through bylaws, memorandum of understanding, or other governing documents. Centers and institutes, particularly those requiring sustained involvement across multiple constituent institutions, may address certain aspects of their management through bylaws, memorandum of understanding (MOUs), or other governing documents, subject to the oversight and approval of the chancellor or the chancellor’s designee. Examples of decisions that may be localized at the center or institute level include processes for appointing and staggering terms of board members, requirements for adding new partners or partner campuses, or agreements on leadership and logistics for specified collaborative initiatives. Centers and institutes that involve multiple campuses, but without such documents, are considered under the full authority of the administrative campus as defined above. In sections II.A.1., through II.A.2.

B. Planning. A planning period can serve many purposes for a conceptualized center or institute, including time to demonstrate the validity of the concept, define partner relationships and roles, or identify fiscal and other resources required for sustainability. Administrative campuses must have policies that address the following aspects of the planning of institutional centers and institutes:

1. Clear process for requesting authorization to plan a center or institute. Minimum required documentation should include:
   a. Relevance of the proposed center or institute to the mission of the administrative campus and UNC.
   b. Objectives of the proposed center or institute and why the objectives cannot be achieved within existing institutional or University structures, including individual schools, departments, and/or programs.
   c. Discussion of differentiation from similar centers, institutes, or units within the campus, UNC and the State, and proposed relationships with them.
   d. Potential sources and estimated funding to inititate and sustain the proposed center or institute, presented as a five-year projection, including the amounts of (1) General Fund support; (2) non-General Fund support; and (3) in kind support.
   e. When relevant, statements on the inter-institutional nature of the proposed center or institute, whether it be mission, leadership, activities, funding, or other aspects.

2. Milestones, timelines, and responsible parties associated with center and institute planning periods.

3. Clear process for granting and notification of authorization to plan a center or institute, which shall require approval by the chancellor and a report to the board of trustees and the Office of Research and Graduate Education at UNC General Administration within 30 days of the chancellor’s approval, or by the next regular meeting of the board, whichever is later.

C. Establishment. When a center or institute approved for planning is ready and able to demonstrate its viability, a formal request for authorization to establish is prepared. Administrative campuses must have policies that address the following aspects of the establishment of institutional centers and institutes:

1. Clear process for requesting authorization to establish a center or institute. Minimum required documentation should include the items listed in the authorization to plan documentation (Section B., above) as well as:
   a. Name of the proposed center or institute, which appropriately reflects the center or institute mission and scope.
   b. Identification of the proposed center or institute as either a research, public service, or instructional unit, in accordance with its primary mission and core activities, with the understanding that the center or institute may also conduct complementary activities outside of its primary designated mission.
   c. Organizational structure of the proposed center or institute, including name of a proposed director, description of the membership and function of any proposed advisory or policy boards, and proposed responsibility structure.
   d. Statement on the anticipated effects of the proposed unit on the institutional, research and/or public service programs of the administrative campus; and, when inter-institutional arrangements are involved, a statement on the anticipated effects of the proposed collaboration on the instructional, research and/or public service programs of all participating campuses.
   e. Statement on immediate financial needs, including the amount of General Fund, non-General Fund, and in kind support that will be required.
   f. Statement on immediate operating needs, such as equipment, library resources, and space needs, and five-year projections of discontinuation.
   g. When relevant, evidence that inter-institutional arrangements regarding leadership, governance, activities, funding, or other aspects have been reached by the cooperating campuses or designees.
   h. An accountability plan that complies with policy of the administrative campus, noting specific dates for the initial director and center reviews.

2. Milestones, timelines, and responsible parties associated with establishment; and
3. Clear process for granting and notification of the establishment of a center or institute, which includes approval by the chancellor and board of trustees and notification to the Office of Research and Graduate Education at UNC General Administration prior to establishment.

D. Management. The chancellor of each administrative campus will ensure that each active center and institute associated with the administrative campus undergoes a comprehensive review at least once every five (5) years to evaluate ongoing alignment with departmental, college and/or institutional missions and resources, success in accomplishing stated objectives, and sound fiscal status and practices. Administrative campuses must have policies that include the following aspects of the management of centers and institutes as part of the comprehensive review:

1. Process for director searches, including steps of the process, participants and responsible parties, and appropriate decision-making procedures;
2. Cycle(s) for annual and comprehensive reviews of center and institute activities, including designation of the responsible office or offices;
3. Evaluation criteria to include at a minimum:
   a. Performance against specific objectives and goals;
   b. Quality and quantity of scholarly activity (as appropriate per mission), teaching and other instructional activity (as appropriate per mission), and service (as appropriate per mission);
   c. Sufficient budget to continue operation, including the amount and proportion of funds received from General Fund and non-General Fund sources as well as in kind support;
   d. Fiscal oversight;
   e. Analysis and assurance that the entity does not duplicate other institutional, UNC, or State entities;
   f. Analysis and consideration as to whether the entity's work can be effectively accomplished by a single department or program; and
   g. Stakeholder feedback (stakeholder defined as appropriate per the unit's mission).
4. Listing of other considerations, outside of the above performance review criteria, to be discussed during review periods, including facilities, personnel, or other operational needs;
5. Cycle(s) for reviews of center and institute directors, including designation of the office or offices responsible for conducting the review;
6. Criteria for director review, to include at minimum:
   a. Performance against individual objectives and goals;
   b. Feedback on leadership and communication from center/institute staff, partners and/or clients; and
   c. Management of fiscal and human resources.
7. Standard practices and procedures for involving other UNC constituent institutions in review processes, when relevant;
8. Articulation of the type of unsatisfactory performance that could merit conditions for discontinuation of a center, institute, director, or others; and
9. Clear plans for occasions when centers, institutes or directors do not meet minimum review expectations, including process, milestones, and responsible parties.

E. Discontinuation

1. A center or institute may be discontinued for a variety of reasons, including but not limited to lack of fiscal resources for sustainability, termination of a supporting grant or award, lack of fit with departmental, college or institutional missions or objectives, or a change in institutional priorities.
   a. Campus level policies must provide a clear process for the discontinuation of centers and institutes, whether on probationary status, performing satisfactorily, or in other circumstances. For those entities that involve only a single campus, the campus-level process should include approval by the board of trustees and notification to the Office of Research and Graduate Education at UNC General Administration, prior to discontinuation. For those centers and institutes that require significant and sustained cooperation among more than one UNC constituent institution, campus-level policies must provide for agreement to be reached and documented by the partner chancellors or designee before the discontinuation recommendation goes before the board of trustees at the administrative campus. If such an agreement cannot be reached by partner chancellors or designees, then UNC General Administration, through the Office of Research and Graduate Education, will convene partners and determine an acceptable solution.
   b. If the president or the Board of Governors determines that a center or institute should be considered for discontinuation, the president shall give written notice of that determination to the chancellor and chair of the board of trustees of the constituent institution functioning as the administrative campus, notifying them that they may request a hearing on the matter before the Committee on Educational Planning, Policies, and Programs by transmitting a written request for a hearing to the president within thirty (30) days after receipt of the president's notice. The chancellor and board of trustees chair may bring to this hearing such administrative staff members and faculty members as they may deem useful in representing the institution. If the chancellor and board of trustees chair request a hearing, they shall, not later than two weeks prior to the hearing, file with the president a written statement of reasons why the center or institute should not be discontinued, together with such supporting data as they may wish to provide. After such hearing, the Committee shall recommend to the Board of Governors action that the Committee deems appropriate.
   2. The "phase-out" period for centers and institutes that are to be discontinued shall be sufficient to permit an orderly termination or transfer of contractual obligations and to allow an effort to find alternative employment for full-time staff. Normally, the "phase-out" period shall be no more than one year after the end of the academic year in which final approval is given to discontinue the center or institute.

F. Other Entities. Other coordinating entities, such as partnerships, consortia, collaboratives, or centers that form within existing centers or single departments, may be considered exempt from these regulations. For example, faculty within a department may decide to form a collaborative in order to more intentionally connect their research projects and professional networks. While such a group may prove a valuable resource to external partners or other disciplinary contacts, it would likely require little to no structure, funds, or management to function. A final determination will be left to the discretion of each constituent institution as to whether such entities will be governed under institution level processes. Campuses should make appropriate provisions in their policies and procedures to ensure they remain knowledgeable of the existence and viability of such entities.

III. University System Multi-Campus Centers and Institutes

Some centers and institutes are established either to represent North Carolina in a federally funded and formula-based program, many of which require state matching funds, or through legislative action with requirements of multiple campus engagement. These entities, known as University System Multi-Campus Centers and Institutes, will maintain varying levels of involvement from UNC General Administration throughout their life cycle, as described below.

A. Participants in a Federal Program. Centers and institutes that are established via a federally funded and formula-based program must, with guidance from UNC General Administration, identify an administrative campus in UNC. The administrative campus will retain responsibility for general and fiscal oversight with exception of the budget expansion request process, in which UNC General Administration will assist. A reporting line to UNC General Administration through the UNC Office of Research and Graduate Education will be maintained throughout the existence of these centers and institutes to ensure appropriate system level involvement in the center mission and the federal review processes for these centers, institutes, and their directors. These entities shall reach agreements with their administrative campuses to have any regularly occurring and extensive federal review meet the requirement for periodic comprehensive review.
and formula-based matching program may be discontinued if the sponsoring unit of the federal government terminates funding for the program. Otherwise, when it becomes necessary for UNC to discontinue one of these centers or institutes, the chancellor of the administrative campus should, in consultation with the other participating constituent institutions, prepare and forward a written request to the UNC president, with copy to the vice president for research. The president will then make such recommendations as are necessary to the Board of Governors for approval of the discontinuation. The “phase out” period considerations noted in Section II.E., above, also apply to these centers and institutes.

B. Legislatively Sanctioned Multi-Campus Centers and Institutes. Centers and institutes that are established via legislative action of the North Carolina General Assembly and that require multiple campus engagement must, with guidance from UNC General Administration, identify an administrative campus in UNC. At the time of the enactment of the legislation, UNC General Administration will assist these entities and the administrative campus in the creation of planning, establishment, and other governing documentation (e.g., bylaws, memorandum of understanding). After these governing documents are effective, the entity will come fully under the auspices of the administrative campus for general and fiscal oversight. Discontinuation provisions should be noted in the governing documents and should involve the counsel of UNC General Administration in the discontinuation process, through the Office of Research and Graduate Education.

C. Other multi-campus centers and institutes. The provisions of this regulation are intended to enable campuses to effectively manage centers and institutes, whether institutional or involving multiple campuses. Inter-institutional centers and institutes are hence not singled out as exceptional circumstances requiring system-level oversight but rather to be considered as a customary practice that may require some additional considerations. UNC General Administration, through the Office of Research and Graduate Education, can offer assistance during the planning phase of complex multi-campus efforts. Upon the need to discontinue one of these entities, the provisions in Section II.E., of this regulation will apply.

IV. Other

A. Reporting. Each administrative campus shall notify the Office of Research and Graduate Education at UNC General Administration of the establishment or discontinuation of any center or institute. The Office of Research and Graduate Education at UNC General Administration will maintain a current listing of all UNC centers and institutes, which will be posted on the UNC website and categorized by mission. Each center or institute must be designated as a research, public service, or instructional unit in accordance with its primary mission and core activities, with the understanding that many centers and institutes will also conduct complementary activities outside of their primary designated mission. Administrative campuses must also designate when a center or institute that they administer is a UNC System Multi-Campus Center or Institute.

B. Exceptions. This regulation does not apply to affiliated or associated entities as defined in University policy, including but not limited to the North Carolina Center for International Understanding, the UNC Center for Public Television, and the UNC Center for School Leadership Development. Any other exceptions or modifications to these regulations must be approved by the president.

C. Political activity and legislative activity. Each center or institute functions as part of one or more constituent institutions of the University and is subject to the administrative management, oversight, and control of the chancellor of the administrative campus (or the chancellor’s designee(s)) as to all activities undertaken by the center or institute, including with respect to the use of funds, services, supplies, equipment, information technology resources, vehicles or other University property.

University employees assigned to centers and institutes are subject to UNC Policy Manual Section 300.5.1, concerning Political Activities of Employees, which includes prohibitions against engaging in political activity while on duty and using the authority of one’s position or University or center or institute funds, services, supplies, equipment, information technology resources, vehicles or other resources for such activities, as described in the policy.

The Internal Revenue Code (IRC) limits the extent to which charitable organizations that are tax-exempt pursuant to Section 501(c)(3) of the IRC may engage in activities directed towards influencing legislation (lobbying), subject to applicable exceptions. The University and its constituent institutions are tax-exempt bodies pursuant to IRC Section 115, IRC Section 501(c)(3), or both. The University and its constituent institutions are also covered by the Lobbying Disclosure Act of 1995, as amended by the Honest Leadership and Open Government Act, 2 U.S.C. § 1601et seq. Regardless of the basis for the tax-exempt status of the administrative campus and its reporting requirement under the Lobbying Disclosure Act, each center or institute remains subject to the direction of its administrative campus when engaging in legislative (lobbying) activities, which shall be conducted in compliance with all State and federal laws, including regulations adopted by the U.S. Department of Treasury and the Internal Revenue Service. Each center or institute will be guided by the IRC Section 501(c)(3) limits on lobbying activities that would apply if it were an independent charitable organization described in IRC Section 501(c)(3).

The chancellor (or chancellor’s designee(s)) of each administrative campus is responsible for overseeing and exercising appropriate control over the activities of each center or institute, and for ensuring that the director and professional staff of each center or institute receive comprehensive annual training concerning Internal Revenue Code restrictions on political and legislative activities by section 501(c)(3) organizations covered by the Lobbying Disclosure Act. 400.5[R]: Adopted 01/12/81, Amended 07/30/97, Amended 07/01/02, Amended 05/06/04, Repealed and Replaced 10/21/09, Amended 06/08/15, Amended 12/04/15

400.6 Early College High Schools on UNC Campuses

Constituent institutions of the University of North Carolina may enter into a contract with one or more North Carolina school districts to establish an Early College High School. Such high schools will provide regular high school course work and when college readiness is demonstrated, college-level course work for the Early College High School student. Students enrolling in college-level course work will have a distinct classification as an Early College High School Student (ECHS) and will not be degree seeking students at the constituent institution. Upon completion of high school, such students may be admitted as regular degree seeking students subject to the University’s requirements for admission.

Students participating in an Early College High School will be identified and tracked in the University data system and will be placed in a unique category for Early High School students.

The president is authorized to establish regulations for the implementation of Early College High Schools at constituent institutions.

400.6: Adopted 01/13/06

400.6.1[R] Regulations for the Establishment of an Early College High School on UNC Campuses

This regulation confirms the required conditions and agreements that must be made prior to the establishment of an Early College High School program between constituent institutions of the University of North Carolina and local education agencies. The purpose of these regulations is to protect the interest of the students and ensure they have available to them all the services required of the appropriate education entity.

An agreement may be made between a local school district’s Board of Education and a constituent institution of the university (hereafter the University) only when each of the following elements is included in the agreement:
1. The Early College High School (hereafter Early College) will be a public high school under the authority of the local school district’s Board of Education (hereafter Board of Education). All federal, state, and local laws applicable to public high schools will be applicable to the Early College.

2. The principal of the Early College will be appointed by the Board of Education who will have executive authority over the high school programs and activities. The principal will select and supervise qualified and certified teachers to provide the courses for the high school programs. The Board of Education will compensate the principal, teachers, and high school staff of the Early College.

3. All federal, state, local, and Board requirements for public high schools will be followed and met and paid for by the Board of Education including but not limited to curriculum, instructional calendar, transportation, provision of textbooks and related materials, provision of physical education, provision of meals, provision of health services, including counseling, compliance with laws and regulations governing the education of students with disabilities, compliance with federal laws governing privacy of student records, and compliance with state laws governing the health and safety of minors and discipline. In addition, the Board of Education will pay any applicable instructional, incidental and miscellaneous fees charged by the University to its regularly enrolled students.

4. The Board of Education will ensure that all students enrolled in the Early College are provided with courses that meet the minimum course requirements for admission to the University of North Carolina, provided that upon recommendation of the Board, these requirements may be waived by the Board of Governors of the University of North Carolina.

5. The Early College will enroll at least 100 students such that it is a recognized high school by the Department of Public Instruction; provided that the head count may be modified by the Department upon recommendation of the Board of Education.

6. The Early College will be located on the campus of the University which will provide sufficient classroom and related space for the high school academic programs. Limited and controlled access to the University library will also be provided. There will be no access to residence halls, unmonitored internet access sites, any space where alcohol is available or any other space deemed by the University to be unsuitable for high school students or their programs. Monitoring of the students compliance with access to facilities and internet access will be the responsibility of the school principal. The University shall be responsible for the provision of utilities, and the maintenance thereof.

7. The Board of Education will be responsible for ensuring compliance with restrictions to Internet access as required for public schools in North Carolina.

8. All facilities will remain under the control of the University. All students, faculty and staff of the Early College must abide by University policies and regulations concerning its facilities as well as any restrictions as contemplated by paragraph (6).

9. The University may provide selected university-level courses for the students enrolled in the Early College. These courses will be taught by University faculty. Prior to enrolling in a university-level course, the students must demonstrate readiness to succeed in these courses. Representatives of the University and the Early College will confer and agree on a standard measure of readiness and performance which must be met by the students prior to enrollment in a university-level course.

10. The University host will establish the performance criteria for admission and for transfer of credits for Early College students to the host institution. Students meeting those criteria will be assured admission to the host institution and transfer of credits to complete the baccalaureate degree.

11. Students participating in an Early College will be identified and tracked in the University data system and will be placed in a unique category for Early College High School (ECHS) student. The students at the Early College will not be classified or counted as regularly enrolled students.

12. Selection of Early College students for the Early College High School must be made by an admissions committee that includes but is not limited to local public school officials, university academic affairs officials, university student affairs officials and college officials. Selection must be based on academic credentials, disciplinary records, potential of successful completion of high school requirements, potential for successful completion of university course requirements and potential for contribution to the intellectual and social strength of the college environment.

13. Applicants to the Early College must complete an application developed by representatives of the university and the college. This application must contain security questions utilized by the University for all enrolled students.

14. The Board of Education and the University will agree on start-up and annual operational costs to be reimbursed to the University by the Board of Education.

15. The Board of Education, through funding from the Department of Public Instruction, must pay to the University the tuition, education and technology fee, book costs and cost of delivering university-level courses for ECHS students. (Note: "Cost of delivery" is the amount derived by running the college level student credit hours (SCHs) through our enrollment change model)

16. While in University facilities, on University property or in University classes, the students, faculty and staff of the Early College will comply with all state and local laws, applicable University regulations and applicable University policies. Failure to follow these prescriptions will subject the individual to the disciplinary procedures of the University and may result in dismissal from the College. The Board of Education will adopt any rules necessary to its governance of the school, provided that those rules will not be inconsistent to those in force at the University.

17. Students may be dismissed by the principal for violation of high school rules or regulations. The University may not veto these disciplinary decisions but the principal may seek advice from University officials prior to making these decisions. Students may also be disciplined or dismissed by the University for violations of federal or state laws or University rules or policies. Neither the principal nor the Board may veto such disciplinary decisions but the University may seek their advice prior to making these decisions.

18. The Board of Education and the University are each responsible for the negligence or intentional harm caused by its employees; however nothing in this section shall be construed to waive any defense of sovereign immunity which might otherwise be available to the Board or the University; provided further that nothing in this section shall be construed to limit the rights of the Attorney General of North Carolina to bring claims for or to defend claims against the University.

19. The agreement between the University and the Board of Education must have a defined period of duration and a provision for termination with appropriate written notice. This agreement may be amended or supplemented by mutual written consent of both the Board of Education and the University.

20. If the agreement is terminated, the University will be reimbursed for uncompensated expenses incurred in the establishment or operation of the Early College.

21. The University and the Board of Education may agree on additional provisions to their agreement as long as those provisions are not in conflict with the above elements.

22. The agreement must be approved by the appropriate entities and signed by the Chair of the Board of Education; superintendent of the collaborating school district; chair of the campus board of trustees; and the chancellor of the institution.

400.6.1[R]: Adopted 08/07/06

400.7 Involvement of Centers and Institutes in Legal Actions

1. Applicability and Purpose. The Board of Governors believes that the establishment of Centers and Institutes, as defined in Section 400.5[R] of the UNC Policy Manual, can strengthen and enrich University programs and activities associated with the University’s core missions of research, instruction, and service. This policy seeks to protect the academic focus of such entities by restricting Centers and Institutes from participating in litigation.

2. Legal Actions. No Center or Institute may do any of the following:

   A. File a complaint, motion, lawsuit or other legal claim in its own name or on behalf of any individual or entity against any individual, entity, or government or otherwise act as legal counsel to any third party; or

   B. Employ or engage, directly or indirectly, any individual to serve as legal counsel or representative to any party in any complaint, motion, lawsuit, or
other legal claim against any individual, entity, or government or to act as legal counsel to any third party.

III. No Application of Law Clinics. This policy shall not apply to any "law clinic" described in Standards 303 and 304 of the American Bar Association Standards and Rules of Procedure for Approval of Law Schools, or any successor regulation thereof.

IV. Other Matters.
A. Effective Date. The requirements of this policy shall be effective on the date of adoption by the Board of Governors. The requirements of this policy shall not apply to any pending legal action in which a Center or Institute was participating immediately prior to the effective date of this policy, provided that the Center or Institute notifies the secretary of the Board of Governors, in writing, of its participation in such action within thirty (30) days of the adoption of this policy.
B. Relation to State Laws and University Policy. The foregoing policy as adopted by the Board of Governors is meant to supplement, and does not purport to supplant or modify, those statutory enactments and existing University policies which may govern or relate to the matters addressed herein.
C. Regulations and Guidelines. This policy shall be implemented and applied in accordance with such regulations and guidelines as may be adopted from time to time by the president.

The UNC Policy Manual: 400.7, Adopted 09/08/17